

Request for Records Disposition Authority

Records Schedule Number DAA-0436-2018-0001

Schedule Status Approved

Agency or Establishment Bureau of Alcohol, Tobacco, Firearms, and Explosives

Record Group / Scheduling Group Records of the Bureau of Alcohol, Tobacco, Firearms, and Explosives

Records Schedule applies to Major Subdivision

Major Subdivision Office of Science and Technology (OST), Forensic Services

Minor Subdivision Forensic Investigative Services Division (FISD)

Schedule Subject Forensic Audit Files

Internal agency concurrences will be provided No

Background Information Case files created by ATF's Forensic Auditors in providing comprehensive financial investigative services in all program areas - arson, explosives, alcohol, tobacco, and firearms. Includes case file components maintained electronically in CaseWare commercial-off-the-shelf software as well as related textual records. This schedule provides disposition authority for the Forensic Audit Case Files created and maintained by Financial Investigative Services Division.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0436-2018-0001

Sequence Number	
1	Forensic Audit Files
1.1	Forensic Audit Assignment Case Files Related to Criminal Investigation Disposition Authority Number: DAA-0436-2018-0001-0001
1.2	Forensic Audit Assignment Case Files Not Related to Criminal Investigation Disposition Authority Number: DAA-0436-2018-0001-0002
1.3	Preliminary Audit Matters Files Disposition Authority Number: DAA-0436-2018-0001-0003

Records Schedule Items

Sequence Number	
1	<p>Forensic Audit Files</p> <p>The Financial Investigative Services Division's (FISD's) staff of forensic auditors work with Special Agents, Industry Operations Investigators (IOIs), and state and local law enforcement throughout the country to provide comprehensive financial investigative services to the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) in all program areas - arson, explosives, alcohol, tobacco, and firearms - which may include large complex investigations involving money laundering, structuring, mail fraud, wire fraud, bank fraud, and asset identification and forfeiture. The forensic auditors participate with case agents and other investigators to collect financial data, conduct interviews, perform analyses, prepare final reports and appropriate graphical materials, and provide expert testimony in court. CaseWare Working Papers and CaseWare Tracker are used to collect, manage, and analyze the audit working case files, and to track the case assignments and workload among staff members. Auditors typically work from working copies of materials maintained in the CaseWare case file in performing their duties, and provide the originals of their working materials, interview reports, and final reports to the Special Agent or IOI in charge of the investigation for inclusion in the official investigative file in the National Field Office Case Information System (NFOCIS) and/or the hard-copy Criminal Investigative Case File.</p>
1.1	<p>Forensic Audit Assignment Case Files Related to Criminal Investigation</p> <p>Disposition Authority Number DAA-0436-2018-0001-0001</p> <p>Forensic audit case file related to a criminal investigation that is assigned to a forensic auditor and given a case number and tracked by CaseWare. Contains working copies of subject financial data, interview reports, related data, analysis, graphical presentation materials, and the final audit report. Each case file includes a document named Admin1 which contains tracking data such as investigative case number, agent and prosecutor names, relevant case dates, grand jury, plea, trial and sentencing information, time spent on cases and administrative duties. Original copies of raw data and final reports are provided to the lead investigating Special Agent or Industry Operations Investigator for inclusion in the official investigation file. The auditor's supporting materials and finished work products are retained in CaseWare (with identification of all related physical materials when appropriate). The audit case file is closed when the criminal investigator closes the investigative file.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p>

1.2	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Close the case file when the related criminal investigation case file is closed. Cut off at the end of the fiscal year that the case is closed.
	Transfer to Inactive Storage	Retain textual records associated with case files for 5 years. Transfer to inactive storage for the remaining retention period.
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Forensic Audit Assignment Case Files Not Related to Criminal Investigation	
	Disposition Authority Number	DAA-0436-2018-0001-0002
	Forensic audit case file not related to a criminal investigation that is assigned to forensic auditor and given a case number and tracked by CaseWare. Examples include internal audits of ATF programs at the request of the ATF Directorate.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Close case file when the results of the audit are reported to the requesting Directorate after any follow-up questions/concerns related to the report are addressed. Cutoff at the end of the fiscal year that the case is closed
	Retention Period	Destroy 7 year(s) after cutoff

1.3

Additional Information

GAO Approval Not Required

Preliminary Audit Matters Files

Disposition Authority Number DAA-0436-2018-0001-0003

Case files related to matters that involve a consultation by the auditor with a Special Agent or IOI, or a preliminary investigation into a matter of interest, but that do not result in the opening and assignment of a full case. Maintain relevant materials, correspondence, emails, and other records. Close the case when it is determined that no case assignment will be made.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Cutoff Instruction Close when it is determined that no case assignment will be made. Cutoff at the end of the fiscal year that the case is closed.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
02/21/2018	Certify	Gregory Carroll	ATF Records Officer	Office of Science and Technology - Resource Management Staff
06/11/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/29/2018	Submit For Certification	Gregory Schildmeyer	Contractor	Bureau - Bureau
07/11/2018	Certify	Gregory Carroll	ATF Records Officer	Office of Science and Technology - Resource Management Staff
08/21/2018	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
08/21/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/21/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/22/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist