

### Request for Records Disposition Authority

Records Schedule Number      **DAA-0436-2012-0004**

Schedule Status                 **Returned Without Action**

  

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 Professional Responsibility & Security Operations**

Minor Subdivision               **Security & Emergency Programs Division, Personnel Security Branch**

Schedule Subject                 **PERSONNEL SECURITY RECORDS**  
**Personnel security records created under Office of Personnel Management and Department of Justice procedures and regulations and related indexes maintained by the Personnel Security Branch.**

Internal agency concurrences will be provided    **No**

  

Background Information         **ATF has been delegated the authority to conduct its own background investigations and supplies this information to other Federal agencies upon request for up to 10 years after a person separates from ATF**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>0</b>	<b>0</b>	<b>0</b>	<b>6</b>

GAO Approval

## Outline of Records Schedule Items for DAA-0436-2012-0004

Sequence Number	
1	Personnel Security Investigation Case Files
1 1	Paper Case Files Disposition Authority Number DAA-0436-2012-0004-0001
1 2	JSTARS electronic database case files Disposition Authority Number DAA-0436-2012-0004-0002
1 3	XML copy of case file exported from JSTARS Disposition Authority Number DAA-0436-2012-0004-0003
2	Personnel Security Administrative Records Disposition Authority Number DAA-0436-2012-0004-0004
3	Classified Information Nondisclosure Agreements Disposition Authority Number DAA-0436-2012-0004-0005
4	Sensitive Unclassified Information Nondisclosure Agreements Disposition Authority Number DAA-0436-2012-0004-0006

## Records Schedule Items

Sequence Number	
1	<p><b>Personnel Security Investigation Case Files</b> Records documenting the pre-employment screening process, waiver of the pre-employment background investigation, and/or the background investigation for Federal employees or applicants for Federal employment, and other persons, who require an approval before having access to Government information, information technology systems, or facilities. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the pre-employment screening, waiver request, and/or background investigation.</p>
1 1	<p><b>Paper Case Files</b></p> <p>Disposition Authority Number      <b>DAA-0436-2012-0004-0001</b></p> <p><b>Documents collected and created during original investigations and periodic reinvestigations</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Withdrawn</b></p> <p>Is this item media neutral?            <b>No</b></p> <p>Explanation of limitation              <b>Applies to paper documents only</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Close file after administrative adjudication is final Scan paper records into Department of Justice Security Tracking and Adjudication Record System (JSTARS) as document images. Cutoff file after verifying that JSTARS database matches original paper case file</b></p> <p>Retention Period                         <b>Destroy 5 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
1 2	<p><b>JSTARS electronic database case files</b></p> <p>Disposition Authority Number      <b>DAA-0436-2012-0004-0002</b></p>

**Completed Department of Justice Security Tracking and Adjudication Record System (JSTARS) case files, including database fields and images of documents scanned by ATF**

Final Disposition	Temporary
Item Status	Withdrawn
Is this item media neutral?	No
Explanation of limitation	This is an electronic database file
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
GRS or Superseded Authority Citation	GRS 18, Item 22a
<b>Disposition Instruction</b>	
Cutoff Instruction	Cutoff case file upon notification of death or separation or transfer of employee to another Federal agency, or death or separation of contractor
Transfer to Inactive Storage	Note After cutoff JSTARS administrators will produce and provide an XML format copy of the case file for continued use by ATF prior to deletion from JSTARS
Retention Period	Destroy 5 year(s) after separation or when notification of death occurs, whichever is sooner
<b>Additional Information</b>	
GAO Approval	Not Required
<b>XML copy of case file exported from JSTARS</b>	
Disposition Authority Number	DAA-0436-2012-0004-0003
Final Disposition	Temporary
Item Status	Withdrawn
Is this item media neutral?	No
Explanation of limitation	Electronic record in XML format
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No

13

2

Disposition Instruction

Cutoff Instruction Cutoff after verification that the XML file transferred to ATF by DOJ JSTARS administrator is accurate and complete

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

**Personnel Security Administrative Records**

Disposition Authority Number DAA-0436-2012-0004-0004

Correspondence, reports, and other records relating to the administration and operation of the background investigation contract program, special deputation program, and other personnel security functions, not covered elsewhere in this schedule

Final Disposition Temporary

Item Status Withdrawn

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? No

Disposition Instruction

Cutoff Instruction Cutoff at end of fiscal year

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

3

**Classified Information Nondisclosure Agreements**

Disposition Authority Number DAA-0436-2012-0004-0005

Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by personnel with access to information that is classified under standards put forth by Executive orders governing security classification. These forms should be maintained separately from personnel security records and official personnel folders

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? No

4

Explanation of limitation	Signed copies of paper forms
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	GRS 18, Item 25
Disposition Instruction	
Cutoff Instruction	Cutoff when the person separates from ATF
Retention Period	Destroy 70 year(s) after cutoff
Additional Information	
GAO Approval	Not Required
<b>Sensitive Unclassified Information Nondisclosure Agreements</b>	
Disposition Authority Number	DAA-0436-2012-0004-0006
Copies of nondisclosure agreements for sensitive unclassified information signed by personnel with access to unclassified information that requires safeguarding or dissemination controls, pursuant to and consistent with applicable law, regulations, and government-wide policies.	
Final Disposition	Temporary
Item Status	Withdrawn
Is this item media neutral?	No
Explanation of limitation	Signed copies of paper forms
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
Disposition Instruction	
Cutoff Instruction	Cutoff when the person separates from ATF
Retention Period	Destroy 50 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
03/14/2012	Certify	Thomas Hill	ATF Records Officer	Bureau of Alcohol Tobacco Firearms and Explosives - Bureau of Alcohol Tobacco Firearms and Explosives
09/27/2012	Return Without Action	Elizabeth Greenberg	Appraiser	National Archives and Records Administration - Records Management Services