Request for Records Disposition Authority

Records Schedule Number

DAA-0436-2016-0001

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 Subdivsion

Major Subdivision

Office of Professional Responsibility and Security Operations

(OPRSO)

Minor Subdivision

Internal Affairs Division (IAD)

Schedule Subject

Addendum to Internal Affairs Professional (IAPro) system records

schedule

Internal agency concurrences will

be provided

No

Background Information

The IA Pro System for tracking Internal Affairs Division investigative files is an Oracle database organized by case number. It contains information about investigations of allegations related to employee integrity and misconduct, including complainant data, employee biographic data, incident data, investigative data, and recommended action. Inclusive dates of records in the master database: 10/01/2002 to present.

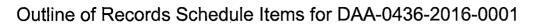
IA Pro was scheduled by NARA in Records Schedule DAA-0436-2013-0005, approved 03/10/2016. DAA-0436-2013-0005 includes sub-items covering two categories of investigative case files: those resulting in administrative action (10 year retention after cutoff), and those resulting in legal action (20 year retention after cutoff.)

This schedule is submitted to describe and provide disposition instructions for two additional categories of investigations files that are tracked by IA Pro: 1) files containing information or allegations of a general nature that do not relate to a specific investigation, and 2) cases where the subject of the investigation is cleared of charges and no administrative or criminal action is taken.

Item Count

Number of Total Disposition Items	Number of Permanent	Number of Temporary	Number of Withdrawn
	Disposition Items	Disposition Items	Disposition Items
2	0	2	0





Sequence Number	
1	Cases Containing Information or Allegations Not Related to a Specific Investigation
	Disposition Authority Number: DAA-0436-2016-0001-0001
2	Cases Resulting in No Administrative or Criminal Action. Disposition Authority Number: DAA-0436-2016-0001-0002

Records Schedule Items

Sequence	Number
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Cases Containing Information or Allegations Not Related to a Specific Investigation.

Disposition Authority Number

DAA-0436-2016-0001-0001

Cases containing information or allegations not related to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files that may be useful in Inspector General investigations.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

No

Explanation of limitation

Case tracking information maintained in an electronic

system.

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

Yes

Do any of the records covered by this item exist as structured

electronic data?

Yes

Disposition Instruction

Cutoff Instruction

Close record upon determination that no further action is warranted. Cut off at the end of the fiscal

year.

Retention Period

Destroy 5 year(s) after cutoff

Additional Information

GAO Approval

Not Required

Cases Resulting in No Administrative or Criminal Action.

Disposition Authority Number

DAA-0436-2016-0001-0002

Cases in which the allegations are unsubstantiated or false and the subject of the investigation is cleared of charges with no administrative or criminal action taken.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

No

2

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Case tracking information maintained in an electronic

system.

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

Yes

Do any of the records covered by this item exist as structured

Yes

electronic data?

Disposition Instruction

Cutoff Instruction

Close upon determination that no action will be taken.

Cut off at the end of the fiscal year.

Retention Period

Destroy 6 year(s) after cutoff

Additional Information

GAO Approval

Not Required



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	Ву	Title	Organization
04/22/2016	Certify	Gregory Carroll	ATF Records Officer	Office of Science and Technology - Resource Management Staff
06/17/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/23/2016	Submit For Certific ation	Gregory Schildmeyer	Contractor	Bureau - Bureau
06/23/2016	Certify	Gregory Carroll	ATF Records Officer	Office of Science and Technology - Resource Management Staff
06/30/2016	Submit for Concur rence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
07/12/2016	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Serivces
07/12/2016	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
07/13/2016	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist