

Department of Justice
Bureau of Alcohol, Tobacco, Firearms and Explosives
Information Collection Request

Supporting Statement
OMB No. 1140-0068
Police Check and Pre-Screening Qualifications Certification

ATF F 8620.42, Police Check Inquiry
ATF F 8620.62, Pre-Screening Qualifications Certification

A. JUSTIFICATION

1. Necessity of Information Collection

Pursuant to a Memorandum of Understanding and Agreement, hereinafter referred to as an MOU, between the Office of Personnel Management (OPM) and the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF), ATF is authorized to conduct security and suitability background investigations on applicants for, or appointees of, positions within ATF. Also, pursuant to Executive Orders 10450 and 13467, ATF also has the authority to conduct suitability background investigations on contractors and other non-ATF personnel who have a need to access ATF information, information technology systems, and/or facilities. Typically, in its normal course of business, ATF contracts out a myriad of services to private industry. These services include, but are not limited to, janitorial and cleaning, maintenance and repair, professional and legal, information technology, laboratory, and construction services. Additionally, ATF often seeks the services of consultants to provide advice in their particular field of expertise. In the area of law enforcement, ATF routinely asks members of State and local law enforcement agencies to join in a multi-jurisdictional approach to combating crime. In those instances, State and local law enforcement officers not only share ATF space and facilities, but also have access to ATF computer systems and intelligence apparatus.

Prior to authorizing non-ATF personnel access to information, information technology systems, and/or unescorted access to facilities, ATF will conduct pre-screening qualification inquiries and a personnel security background investigation commensurate with the type(s) of access required for the position. Absent favorable pre-screening results and/or a favorable adjudication, no person will be permitted access to ATF information, information technology systems, and/or unescorted access to facilities.

In the event a contractor or other type of non-ATF personnel requires escorted access to facilities, ATF will perform a police check inquiry. Escorted access to ATF facilities will not be authorized until such time as a favorably adjudicated police check inquiry is conducted.

Revisions to this Information Collection:

- We have added a new form (ATF Form 8620.62, Pre-Screening Qualifications Certification) to gather the information necessary to conduct pre-screening qualification determinations for those individuals requiring unescorted access to ATF information, information technology systems, and facilities this collection.

The following changes were made to ATF Form 8620.42, Police Check Inquiry:

- Instructions have been added to provide guidance to the form preparers relating to the specific items that need to be completed by them and the routing of the form (page 1).
- Reference to subject as the individual completing the form has been replaced with the term non-ATF personnel (page 1).
- A suffix item has been added to the individual's identifying information (item 5).
- At the direction of ATF's Material Management Operations Center (MMOC), Ethnicity Origin identifying information has been added to the form (item 15a).
- Reference to COTR/POC has been replaced with ATF Sponsor (page 2).
- Description of duties has been added to the remarks item (item 25).
- Specific record check queries have been added to ensure that the appropriate checks are being completed and the results are documented on the form (items 26, 27, and 28).
- Verification and documentation of the individual's compliance with the Allied Nations Policy and residency requirement have been removed from the form as this is no longer required when making a determination to grant escorted access to facilities.

2. Needs and Uses

ATF Form 8620.42 is an internal use form to gather preliminary information from an individual requiring escorted access to ATF facilities. This information is necessary to permit ATF to complete and/or initiate a police check inquiry consisting of criminal record searches. The form asks for identifying information such as name, social security number, date of birth, place of birth, race, sex, any aliases, naturalization information, current and previous addresses, and current and previous employers. In order to ensure compliance with DOJ's residency requirement, ATF must review the individual's home addresses for 5 years. According to DOJ, an individual who has not resided in the United States for 3

out of the past 5 years (with a few exceptions) cannot obtain approval to access DOJ information, IT systems, and/or facilities. In addition, in order to perform the mandatory police checks in jurisdictions covering the past 5 years, employment and home addresses are required. Should ATF determine from the information supplied, that the applicant individual has a criminal record, or is otherwise disqualified, the individual will be denied escorted access to ATF facilities.

ATF Form 8620.62 is used to obtain information from individuals (i.e., potential contractors, task force officers, and volunteers) interested in providing services to ATF. Based on the individuals' responses, determinations are made whether the individuals meet DOJ and ATF basic qualification requirements to be considered for unescorted access to ATF information, information technology systems, and/or facilities. These agency specific requirements include, but are not limited to, residency, citizenship, drug use, financial history, firearms and explosives licensing, criminal history, and conduct qualifications.

3. Use of Information Technology

ATF makes every effort to take advantage of the electronic collection and dissemination capabilities available. Currently, ATF does not have the capability to accept electronic submissions. The fillable forms are available on the ATF website to download and print. The forms may be submitted to ATF by scanning the completed and signed documents and emailing them to a specific ATF email address. Individuals with disabilities can access this form.

4. Efforts to Identify Duplication

Similar information is available from another collection source; however, such collection would be more burdensome on the respondent than what ATF Form 8620.42 and ATF Form 8620.62 require. Persons requiring access to certain levels of sensitive or classified information must complete the Questionnaire for National Security Positions (SF-86) or a Questionnaire for Public Trust Positions (SF-85P) through the Office of Personnel Management's Electronic Questionnaires for Investigations Processing (e-QIP) system. The SF-86 and SF-85P require the respondent to supply certain personal identifying information so that the investigating agency may conduct the requisite criminal record searches, security index inquiries, credit inquiries, and other background information relevant to the respondent. The e-QIP process takes a respondent several hours to complete. We propose to screen those individuals requiring escorted access to ATF facilities by having them complete the ATF Form 8620.42. We further propose to screen individuals requiring unescorted access to ATF information, information technology systems, and/or facilities by having them complete ATF Form 8620.62 prior to completing the SF-86 or SF-85P through the e-QIP system. By doing so, the burden of completing the SF-86 or SF-85P will be eliminated if the individuals do not meet the DOJ and ATF basic qualification requirements. Sufficient identifying information is required to be completed by the respondent to permit ATF to conduct a police check inquiry and

pre-screening qualification determination of the respondent. No other form currently in use by ATF, other than e-QIP's SF-86 and SF-85P, sufficiently detail the particularities of a respondent's personal identifying information.

5. Minimizing Burden on Small Businesses

This information collection has no effect on small businesses. The information sought is personal in nature and is sought for the sole purpose of positively identifying a person undergoing a police check inquiry or determining pre-screening qualification.

6. Consequences of Not Conducting or Less Frequent Collection

As an agency upholding the laws of the United States, we must ensure ATF employees and non-ATF personnel portray the highest degree of integrity and character. We must also ensure the safety and security of our government facilities, information, and information technology systems. ATF Form 8620.42 is the primary vehicle used to gather the personal identifying information necessary to conduct the police check inquiry for those individuals requiring escorted access to ATF facilities. ATF Form 8620.62 is the primary vehicle used to gather the information necessary to conduct pre-screening qualification determinations for those individuals requiring unescorted access to ATF information, information technology systems, and facilities. Not collecting this information could prevent ATF from ensuring the safety and security of its resources.

7. Special Circumstances

This information collection requirement is consistent with the intent of Executive Order 10450. The information sought is necessary to permit ATF to positively identify a person seeking escorted access to ATF facilities and unescorted access to ATF information, information technology systems, and facilities. There are no circumstances that would cause the information collection to be conducted in any manner:

- Requiring respondents to report information to ATF more than quarterly;
- Requiring respondents to prepare a written response in fewer than 30 days;
- Requiring respondents to submit more than an original of any document;
- Requiring respondents to retain any records;
- Requiring the use of any statistical data;
- Requiring any pledge of confidentiality; or
- Requiring respondents to submit any proprietary or trade secrets.

8. Public Comments and Consultations

In order to solicit comments from the general public, a 60-day and 30-day notice was published in the Federal Register. No comments were received.

9. Provision of Payments or Gifts to Respondents

No decision of payment or gift is associated with this collection.

10. Assurance of Confidentiality

Protection is afforded the respondent pursuant to 5 USC § 552(a); however, the respondent is advised that the information collection will be used for the specific purpose of positively identifying the respondent in connection with conducting criminal records searches at the Federal, State, and local levels or determining if respondents meet DOJ and ATF basic qualification requirements. Information collected by the Physical Security Programs Branch (PSPB), Personnel Security Branch (PSB), or field division is protected by the Privacy Act of 1974 and should not be released to outside parties who do not have a need to know under the routine use clause of the Privacy Act of 1974. The respondent's information on ATF Form 8620.42 is kept in a secure location at headquarters within the PSPB and is to be held in reserve for one year or the duration of the contract, whichever is longer. The information on ATF Form 8620.62 becomes a part of the permanent personnel security record of all candidates and is included in Internal Security Record System – Justice/ATF-006 (68 FR 3555-6) and is subject to all of the published routine uses of the system of records.

11. Justification for Sensitive Questions

ATF Form 8620.42 and ATF Form 8620.62 ask respondents to provide his or her personal identifying information, including social security number. This information is necessary to positively identify respondent when conducting criminal record searches. This information collection protects the respondent from erroneous information collected in that the personal identifying information supplied significantly reduces any likelihood of false records.

12. Estimate of Respondent's Burden

ATF Form 8620.42 – It is anticipated that 1,000 respondents will complete the form. Each respondent will respond one time, therefore, the total number of responses will be 1,000. It is estimated that it takes 5 minutes to complete the form. The total burden associated with this collection instrument is 83 hours.

ATF Form 8620.62 - It is anticipated that 1,500 respondents will complete this form. Each respondent will respond one time, therefore, the total number of responses will be 1,500. It is estimated to take 7 minutes to complete the form. The total burden associated with this collection instrument is 175 hours.

The total number of respondents for the entire collection is 2,500. The total number of annual burden hours for the entire collection is 258 hours.

13. Estimate of Cost Burden

There is no new or annualized cost associated with this information collection.

14. Cost to Federal Government

ATF estimates that the cost to the Federal government for this information collection is approximately \$1,500 per year.

15. Reason for Change in Burden

The reason for the increase in respondents and burden hours are due to another information collection instrument (ATF Form 8620.62) being added to this information collection. The instrument was added to obtain pre-screening qualification data from individuals requesting unescorted access to ATF information, information technology systems, and facilities.

16. Anticipated Publication Plan and Schedule

ATF will not publish this information collection.

17. Display of Expiration Date

ATF is not requesting approval to omit the expiration date for this information collection.

18. Exception to the Certification Statement

There are no exceptions to the Certification Statement.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

None