

Request for Records Disposition Authority

Records Schedule Number: DAA-0436-2012-0006
 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: Enforcement Programs & Services (EPS)
 Minor Subdivision: Firearms & Explosives Service Division (FESD)
 Schedule Subject: Annual Firearms Manufacturing and Exportation Report (AFMER)
 Internal agency concurrences will be provided: No

Background Information

AFMER collects and disseminates statistical data on the number of firearms and semi-assault weapons manufactured and/or exported each year within the United States. The filing of the AFMER is required under 18 U.S.C. Chapter 44 and the information submitted by manufacturers may be relayed to field investigators for compliance inspections, or special agents for investigative purposes. Statistical information is also posted to the ATF website annually for reference purposes and use by industry. Input records and master file contain information that must be safeguarded per 26 U.S.C. § 6103, which prohibits disclosure of Federal tax return information, and qualifies as a statute prohibiting disclosure under 5 U.S.C. Section 552(b)(3).

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	2	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0436-2012-0006

Sequence Number	
1	Paper Forms and Attachments Disposition Authority Number: DAA-0436-2012-0006-0003
2	Microfilm Images of Report Forms Disposition Authority Number: DAA-0436-2012-0006-0004
3	Digital Images of Report Forms Disposition Authority Number: DAA-0436-2012-0006-0005
4	Consolidated Annual AFMER Report
4.1	Annual Reports Prepared in Paper Format Disposition Authority Number: DAA-0436-2012-0006-0006
4.2	Annual Reports from the AFMER Database Disposition Authority Number: DAA-0436-2012-0006-0007
5	Special Reports Disposition Authority Number: DAA-0436-2012-0006-0008

Records Schedule Items

Sequence Number	
1	<p>Paper Forms and Attachments</p> <p>Disposition Authority Number DAA-0436-2012-0006-0003</p> <p>Input records consist of annual reports by manufacturers on ATF Form 5300.11 and attachments. Forms are available in PDF format online via ATF website for completion and printing. Completed forms and attachments can be mailed, faxed, or emailed to ATF. Data from forms is input to the Master File on a daily basis in a batch process. All input forms and attachments are converted to paper format and microfilmed or (beginning in 2013) digitally scanned annually for future reference.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Paper forms and attachments.</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? No</p> <p>GRS or Superseded Authority Citation N1-436-86-002, Item 121A1 N1-436-86-002, Item 121B2</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff records upon completion of microfilming or scanning and satisfactory quality control inspection.</p> <p>Retention Period Destroy immediately after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Microfilm Images of Report Forms</p> <p>Disposition Authority Number DAA-0436-2012-0006-0004</p> <p>Microfilm reel copies of annual reports and attachments from 1968 to present. Microfilm rolls are referenced to search and retrieve forms and produce printouts to be included in responses to field office requests or Blue Ribbon certifications of submitted forms for testimony in court. The silver halide master copy of the microfilm is inspected for quality and completeness, and stored at the Washington</p>

National Records Center in a controlled environment for protection. Diazo duplicate copies of the master are retained on-site for working reference purposes. NOTE: FESD discontinued capturing images on microfilm circa 2013 and began digitally imaging the reports and attachments thereafter.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Microfilm

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 N1-436-86-002, Item 121A2
N1-436-86-002, Item 121B3

Disposition Instruction

Cutoff Instruction Cutoff when no longer needed for reference.

Retention Period Destroy immediately after cutoff

Additional Information

GAO Approval Not Required

Digital Images of Report Forms

Disposition Authority Number DAA-0436-2012-0006-0005

Beginning in 2013, digital images of report forms and attachments are used for reference to search and retrieve forms and produce printouts to be included in responses to field office requests or Blue Ribbon certifications of submitted forms for testimony in court.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Electronic images

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

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4 4.1	Cutoff Instruction	Cut off when no longer needed for reference.
	Retention Period	Destroy immediately after cutoff
	Additional Information	
	GAO Approval	Not Required
	Consolidated Annual AFMER Report Copies of the annual firearms manufacturing and exportation report that is published annually by ATF.	
	Annual Reports Prepared in Paper Format	
	Disposition Authority Number	DAA-0436-2012-0006-0006
	Available original annual paper reports prepared during the period 1968 to approximately 1997, before the availability of computers to compile and electronically distribute the reports on the ATF Website.	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Paper reports.
	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	Collect available reports. Prepare copies as needed for ATF administrative use. Transfer to the National Archives upon approval of this schedule.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives immediately after approval of this records schedule
	Additional Information	
	First year of records accumulation	1968
	End year of records accumulation	1997
	What will be the date span of the initial transfer of records to the National Archives?	From 1968 To 1997
How frequently will your agency transfer these records to the National Archives?	Unknown One time transfer of legacy records.	
	Estimated Current Volume	Annual Accumulation

Electronic/Digital		
Paper	0.25 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

4.2

Annual Reports from the AFMER Database

Disposition Authority Number DAA-0436-2012-0006-0007

Annual reports generated from data contained in the AFMER database. Reports are typically published in PDF format on the ATF Website.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Reports in digital PDF format

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 Cutoff at the end of the calendar reporting year that the report is published.

Transfer to the National Archives for Accessioning Transfer to the National Archives in five year blocks when the most recent report in block is five years old.

Additional Information

First year of records accumulation 1998

What will be the date span of the initial transfer of records to the National Archives? From 1998 To 2006

How frequently will your agency transfer these records to the National Archives? Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	0.1 MB	
Paper		
Microform		
Hardcopy or Analog Special Media		

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Special Reports

Disposition Authority Number DAA-0436-2012-0006-0008

Special reports produced for investigators and other ATF officials from queries from the database or review of the reporting forms.

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 Cutoff when no longer needed.

Retention Period Destroy immediately 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
08/09/2012	Certify	Thomas Hill	ATF Records Officer	Bureau of Alcohol Tobacco Firearms and Explosives - Bureau of Alcohol Tobacco Firearms and Explosives
04/09/2013	Return for Revision	Elizabeth Greenberg	Appraiser	National Archives and Records Administration - Records Management Services
05/31/2013	Submit For Certification	Gregory Schildmeyer	Contractor	Bureau - Bureau
05/31/2013	Certify	Thomas Hill	ATF Records Officer	Bureau of Alcohol Tobacco Firearms and Explosives - Bureau of Alcohol Tobacco Firearms and Explosives
06/10/2016	Submit for Concurrence	Elizabeth Greenberg-Taubel	Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/16/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/16/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/27/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist