

## Request for Records Disposition Authority

Records Schedule Number           DAA-0436-2012-0010  
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 Enforcement Programs and Services (EPS)  
Minor Subdivision                  Firearms and Explosives Services Division (FESD)  
Schedule Subject                   National Firearms Registration and Transfer Records (NFRTR)  
Internal agency concurrences will be provided   No

Background Information           This schedule incorporates all previously-scheduled and unscheduled records series in all formats related to National Firearms Act registration and taxation, and provides for a consistent retention for all formats of the records. It recognizes that the records remain open for reference purposes for an indefinite period of time before they might be closed. It changes the retention of the NFRTR System from permanent to temporary, due to the fact that the original scheduling determination was based solely on a report by the National Academy of Public Administration (NAPA) and not on a full appraisal by NARA.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	0	5	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0436-2012-0010

Sequence Number	
1	National Firearms Registration and Transfer Record (NFRTR)
1.1	Paper Records Disposition Authority Number: DAA-0436-2012-0010-0001
1.2	Microfilm Copy of the NFRTR Tax and Registration Records
1.2.1	Reference Copy Disposition Authority Number: DAA-0436-2012-0010-0002
1.2.2	Master Copy Disposition Authority Number: DAA-0436-2012-0010-0003
1.3	National Firearms Registration and Transfer Record (NFRTR) System
1.3.1	Master Database Files Disposition Authority Number: DAA-0436-2012-0010-0004
2	National Firearms Act (NFA) Imaging System
2.1	Master Image and Index Files. Disposition Authority Number: DAA-0436-2012-0010-0007

## Records Schedule Items

Sequence Number	
1	<p><b>National Firearms Registration and Transfer Record (NFRTR)</b> Records related to the registration and transfer of firearms which are maintained under the National Firearms Act (NFA), 26 U.S.C. 5841. They are considered tax records under 26 U.S.C. 6103, and are restricted from disclosure. Records cover a span from 1934 to the present. These records consist of registration documents, serial number cards, correspondence, various related documentation, and internal use reference material. The records are used for the registration of firearms and the collection of Special (Occupational) Taxes. These records are referenced on a daily basis for the approval/disapproval of applications for transfer of firearms. They are searched and certifications are provided to other law enforcement agencies for use in prosecution of violations of the NFA. NFRTR records exist in multiple formats. • The original paper forms and supporting documentation are retained in order to validate the authenticity of the records if needed in legal proceedings or other activities. • Microfilm copies of the records, created through 2012, with the reference copy of the microfilm used by NFA Staff for daily reference purposes. The silver master copy of the microfilm is stored at WNRC for security purposes, and is used to make replacement reference copies as needed. Microfilming of NFRTR records ceased in 2012 with the adoption of the NFA Imaging System for daily reference. • Tax-related and other firearms registration information from the forms is entered into a database, the National Firearms Registration and Transfer Records System (NFRTR System), for administering the provisions of the NFA. • Most of the paper records from 1934 to present have been scanned and indexed into the NFA Imaging System. The NFA Imaging system is used for daily reference, and to support the NFRTR system.</p>
1.1	<p><b>Paper Records</b></p> <p>Disposition Authority Number      <b>DAA-0436-2012-0010-0001</b></p> <p><b>Original paper copies of registration forms and related items.</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>No</b></p> <p>Explanation of limitation              <b>This item applies to the paper version of the NFRTR information.</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>Yes</b></p>

	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-436-86-001, items 1a(1) and 1a(2) N1-436-93-001, item 1b
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Close record when all anticipated reference use has ended. Cut off at end of the fiscal year that the record is closed
	Transfer to Inactive Storage	Note: Open paper records may be stored in a Federal Records Center after the data has been captured to the NFRTR System and an appropriate microfilm and/or electronic imaging reference copy has been created and verified
	Retention Period	Destroy 3 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
1.2	<b>Microfilm Copy of the NFRTR Tax and Registration Records</b>	
1.2.1	<b>Reference Copy</b>	
	Disposition Authority Number	DAA-0436-2012-0010-0002
	Reference copy of the microfilm maintained by ATF for the daily searching of registration and tax records.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	This item relates to the microfilm version of the records that is used for daily reference.
	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	N1-436-86-001, item 1b(1)
	<b>Disposition Instruction</b>	

1.2.2

Cutoff Instruction                      Close the microfilm records when they are no longer needed for reference or to conduct searches under the NFA. Cut off at the end of the fiscal year that the records are closed

Retention Period                         Destroy 3 year(s) after cutoff

**Additional Information**

GAO Approval                             Not Required

**Master Copy**

Disposition Authority Number        DAA-0436-2012-0010-0003

Silver halide master copy of the microfilm which is securely stored and used to produce additional reference use copies as needed due to wear and tear or breakage. The film is quality control tested after production and periodically thereafter according to the requirements of NARA regulations (36 CFR, part 1238). The film is stored at Washington National Records Center.

Final Disposition                        Temporary

Item Status                                Active

Is this item media neutral?            No

Explanation of limitation              This item applies to the master microfilm copy of the records.

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    N1-436-86-001, item 1b(1)

**Disposition Instruction**

Cutoff Instruction                        Close the master copy when its related reference use copy is closed. Cutoff at the end of the fiscal year that the records are closed.

Retention Period                         Destroy 3 year(s) after cutoff

**Additional Information**

GAO Approval                             Not Required

1.3

**National Firearms Registration and Transfer Record (NFRTR) System**

1.3.1	<p>Computer database and application used for administering provisions of the NFA, containing information for the registration and transfer of firearms and information concerning the status of weapons.</p> <p><b>Master Database Files</b></p> <p>Disposition Authority Number      <b>DAA-0436-2012-0010-0004</b></p> <p>Data collected from NFA registration forms, supplemental materials, and reference sources. Data is Tax Information that is restricted from disclosure by 26 U.S.C. 6103.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>No</b></p> <p>Explanation of limitation              <b>This item applies to the electronic version of data maintained in a database.</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>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                            <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>N1-436-93-001, item 1a</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut off when all administrative or reference use of the data has ended, or when the system is decommissioned, abandoned, or migrated to a new system.</b></p> <p>Retention Period                         <b>Destroy 3 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
2	<p><b>National Firearms Act (NFA) Imaging System</b></p> <p>Electronic imaging and indexing system to capture NFA registration files from 1934 to the present to enhance the retrieval of documents by the National Firearms Branch in support of field investigations and inspections. Indexing data includes serial numbers, names, trade names, state, form number, document type, transaction dates, and other data. Searches are primarily made by serial number, name, or trade name, but other index items can be used as well.</p>
2.1	<p><b>Master Image and Index Files.</b></p> <p>Disposition Authority Number      <b>DAA-0436-2012-0010-0007</b></p>

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	No
Explanation of limitation	This item applies to the electronic images and indexing system.
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	Cut off when all administrative or reference use of the data has ended, or the system is decommissioned, abandoned, or migrated to a new system.
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
02/02/2013	Certify	Thomas Hill	ATF Records Officer	Bureau of Alcohol Tobacco Firearms and Explosives - Bureau of Alcohol Tobacco Firearms and Explosives
08/17/2015	Submit for Concurrency	Elizabeth Greenberg-Taubel	Appraisal Archivist	National Archives and Records Administration - Records Management Services
08/20/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/20/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/26/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist