

Bureau of Alcohol, Tobacco, Firearms and Explosives
Office of Strategic Intelligence and Information
Investigative Systems Division

ATF RCS 201, Item 29, The National Field Office Case Information System (N-FOCIS). N-FOCIS is a database that utilizes a suite of case and inspection management applications that includes N-Force/N-Quire and N-Spect. It is used to collect, disseminate, manage, and analyze investigative and inspection data.

a. N-Force/N-Quire System. This is a case management system that contains a collection of investigative information to allow for dissemination, management and analyses of data.

(1) Master Files. These files contain a collection of the majority of information derived during criminal investigations.

(a) DISPOSITION. PERMANENT RECORDS. ANNUALLY CUT OFF DATA FOR CLOSED CASES. TRANSFER A COPY OF THE DATA FOR CLOSED CASES TO THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION 15 YEARS AFTER CUTOFF, IN ACCORDANCE WITH 36 CFR 1228.270. DESTROY AGENCY COPY 75 YEARS AFTER CASE IS CLOSED, OR WHEN NO LONGER NEEDED FOR LEGAL PURPOSES, WHICHEVER IS LATER.

(b) PUBLIC USE VERSION. CONSISTS OF A REDACTED COPY OF ITEM a1(a).

DISPOSITION. PERMANENT RECORDS. ANNUALLY CUT OFF DATA FOR CLOSED CASES. TRANSFER A COPY OF THE DATA FOR CLOSED CASES TO THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION 15 YEARS AFTER CUTOFF, IN ACCORDANCE WITH 36 CFR 1228.270.

~~(2) Input Records. These files consist of special agent notes, work plans, check sheets, information from confiscated articles, police reports, and related records.~~

Previously
approved.
TT

~~DISPOSITION. These records are filed in the
investigative file and are scheduled under ATF RCS 201,
item 44.~~

(3) Output Records. Various adhoc narrative reports and forms are generated for internal use. Some statistical reports are provided to Congress, Department of Justice, and other Law Enforcement agencies upon request.

DISPOSITION. DESTROY WHEN 3 YEARS OLD OR NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES, WHICHEVER IS LATER.

(4) System Documentation. Paper and electronic copies of a users manual, record layouts and codes.

DISPOSITION. PERMANENT RECORDS. TRANSFER A COPY OF THE DOCUMENTATION WITH THE FILE TO NARA. TRANSFER UPDATES AND CHANGES WITH SUBSEQUENT TRANSFER OF THE FILE.

b. N-Spect System. This is a case management system that contains a collection of information derived during the course of inspections conducted by industry operations. It also contains information on mission-related travel, time expended, and expenses.

(1) Master File. These records contain information received during the course of inspections.

(a) DISPOSITION. PERMANENT RECORDS. ANNUALLY CUT OFF DATA FOR COMPLETED INSPECTIONS. TRANSFER A COPY OF THE DATA FOR COMPLETED INSPECTIONS TO THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION 15 YEARS AFTER CUTOFF, IN ACCORDANCE WITH 36 CFR 1228.270. DESTROY AGENCY COPY 25 YEARS AFTER COMPLETION OF INSPECTION, OR WHEN NO LONGER NEEDED FOR AGENCY BUSINESS, WHICHEVER IS LATER.

(b) PUBLIC USE VERSION. CONSISTS OF A REDACTED COPY OF ITEM b1(a).

DISPOSITION. PERMANENT RECORDS. ANNUALLY CUT OFF DATA FOR COMPLETED INSPECTIONS. TRANSFER A COPY OF THE DATA FOR COMPLETED INSPECTIONS TO THE NATIONAL ARCHIVES AND

RECORDS ADMINISTRATION 15 YEARS AFTER
CUTOFF, IN ACCORDANCE WITH 36 CFR 1228.270.

~~(2) Input Records. These records consist of work plans, work papers, check sheets, and related documents.~~

~~DISPOSITION. These records are filed in the firearms licensee files and are scheduled under ATF RCS 201, items 130 through 132.~~

*Previously
approved.
TT*

(3) Output Records. The system produces adhoc reports for internal use, statistical reports, SF 1012 and time accounting sheets, reports related to inspection documentation, significant activity reports, referral of information, and related reports.

DISPOSITION. DESTROY WHEN 3 YEARS OLD OR NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES, WHICHEVER IS LATER.

(4) System Documentation. Paper and electronic copies of users manual, record layouts and codes.

DISPOSITION. PERMANENT RECORDS. TRANSFER A COPY OF THE DOCUMENTATION WITH THE FILE TO NARA. TRANSFER UPDATES AND CHANGES WITH SUBSEQUENT TRANSFER OF THE FILE.

c. Electronic Mail and Word Processing System Copies. Records created and received on electronic mail and word processing systems, and used to generate a recordkeeping copy. Also includes electronic records maintained for updating, revision or dissemination.

(1) Records that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories on hard disk or network drives and copies on shared network drives that are used only to produce the recordkeeping copy.

DISPOSITION. TEMPORARY. DESTROY/DELETE AFTER RECORDKEEPING COPY IS GENERATED AND PLACED IN A RECORDKEEPING SYSTEM.

(2) Records used for dissemination, revision, or updating.

DISPOSITION. TEMPORARY. DESTROY/DELETE WHEN
DISSEMINATION, REVISION, OR UPDATING IS COMPLETE.

Bureau of Alcohol, Tobacco, Firearms and Explosives
Office of Strategic Intelligence and Information
Investigative Systems Division

*See updated
final version
for approval.*

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ATF RCS 201, Item 29, The National Field Office Case Information System (N-FOCIS). N-FOCIS is a database that utilizes a suite of case and inspection management applications that includes N-Force/N-Quire and N-Spect. It is used to collect, disseminate, manage, and analyze investigative and inspection data.

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(1) Master Files. These files contain a collection of the majority of information derived during criminal investigations.

(a) DISPOSITION. PERMANENT RECORDS. TRANSFER A COPY OF THE DATA FOR CLOSED CASES TO THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION IN BLOCKS OF 5 FISCAL YEARS WHEN OLDEST DATA IS 15 YEARS OLD, IN ACCORDANCE WITH 36 CFR 1228.270 (i.e. RECORDS DATED 2000-2005 ARE TRANSFERRED IN 2015). DESTROY AGENCY COPY 75 YEARS AFTER CASE IS CLOSED, OR WHEN NO LONGER NEEDED FOR LEGAL PURPOSES, WHICHEVER IS LATER.

(b) PUBLIC USE VERSION. CONSISTS OF A REDACTED COPY OF ITEM a1(a).

DISPOSITION. PERMANENT RECORDS. TRANSFER A COPY OF THE DATA FOR CLOSED CASES TO THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION IN BLOCKS OF 5 FISCAL YEARS WHEN OLDEST DATA IS 15 YEARS OLD, IN ACCORDANCE WITH 36 CFR 1228.270 (i.e. RECORDS DATED 2000-2005 ARE TRANSFERRED IN 2015).

(2) Input Records. These files consist of special agent notes, work plans, check sheets, information from confiscated articles, police reports, and related records.

DISPOSITION. These records are filed in the investigative file and are scheduled under ATF RCS 201, item 44.

(3) Output Records. Various adhoc narrative reports and forms are generated for internal use. Some statistical reports are provided to Congress, Department of Justice, and other Law Enforcement agencies upon request.

DISPOSITION. DESTROY WHEN 3 YEARS OLD OR NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES, WHICHEVER IS LATER.

(4) System Documentation. Paper and electronic copies of a users manual, record layouts and codes.

DISPOSITION. PERMANENT RECORDS. TRANSFER A COPY OF THE DOCUMENTATION WITH THE FILE TO NARA. TRANSFER UPDATES AND CHANGES WITH SUBSEQUENT TRANSFER OF THE FILE.

b. N-Spect System. This is a case management system that contains a collection of information derived during the course of inspections conducted by industry operations. It also contains information on mission-related travel, time expended, and expenses.

(1) Master File. These records contain information received during the course of inspections.

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(b) PUBLIC USE VERSION. CONSISTS OF A REDACTED COPY OF ITEM b1(a).

DISPOSITION. PERMANENT RECORDS. TRANSFER A COPY OF THE DATA FOR COMPLETED INSPECTIONS

TO THE NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION IN BLOCKS OF 5 FISCAL YEARS
WHEN OLDEST DATA IS 15 YEARS OLD, IN
ACCORDANCE WITH 36 CFR 1228.270 (i.e.
RECORDS DATED 2000-2005 ARE TRANSFERRED IN
2015).

(2) Input Records. These records consist of work plans, work papers, check sheets, and related documents.

DISPOSITION. These records are filed in the firearms licensee files and are scheduled under ATF RCS 201, items 130 through 132.

(3) Output Records. The system produces adhoc reports for internal use, statistical reports, SF 1012 and time accounting sheets, reports related to inspection documentation, significant activity reports, referral of information, and related reports.

DISPOSITION. DESTROY WHEN 3 YEARS OLD OR NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES, WHICHEVER IS LATER.

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(1) Records that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories on hard disk or network drives and copies on shared network drives that are used only to produce the recordkeeping copy.

DISPOSITION. TEMPORARY. DESTROY/DELETE AFTER RECORDKEEPING COPY IS GENERATED AND PLACED IN A RECORDKEEPING SYSTEM.

(2) Records used for dissemination, revision, or updating.

DISPOSITION. TEMPORARY. DESTROY/DELETE WHEN DISSEMINATION, REVISION, OR UPDATING IS COMPLETE.

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-436-03-5

Date Sent: 9/10/03

Date Received: 9/12/2003

Return to sender by: 9/17/03

Route to: Tom Brown, NWME, Room 5320, All
I.
Return to: Tracee M. Taylor, NWML, Room 2100, All

- A. This job has also been sent to: NWMWA, NR, NWMD and NWCTC
- B. NWML general comments on this job: See attached schedule items pertaining to ATF's National Field Office Case information System (N-FOCIS).
- C. NWML wishes assistance in appraising these records:

FOR STAKEHOLDER USE Check the applicable options, and provide the information requested

1. We waive informal review. Please send copy of completed job.
2. We wish to review appraisal report. Please send copy of completed job.
3. We wish to participate directly in appraising the entire job or the following schedule items:

_____ . SHU point of contact for appraisal is:

_____ . Phone No. _____

SHU comments: _____

Date Sent: 9/15/2003

SHU Signature *Tracee M. Taylor*

NWML Contact: TRACEE M. TAYLOR	Room No.: 2100, All
	Phone No.: (301) 837-3043

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-436-03-5

Date Sent: 9/10/03

Date Received: _____

Return to sender by: 9/17/03

Route to: Judith Barnes, NWMWA, Room 125, WNRC
Return to: Tracee M. Taylor, NWML, Room 2100, All

- A. This job has also been sent to: **NR, NWME, NWMD and NWCTC**
- B. NWML general comments on this job: **See attached schedule items pertaining to ATF's National Field Office Case information System (N-FOCIS).**
- C. NWML wishes assistance in appraising these records:

FOR STAKEHOLDER USE. Check the applicable options, and provide the information requested.

- 1. We waive informal review. Please send copy of completed job.
- 2. We wish to review appraisal report. Please send copy of completed job.
- 3. We wish to participate directly in appraising the entire job or the following schedule items:
 _____ . SHU point of contact for appraisal is:
 _____ . Phone No. _____ .

SHU comments: _____

Date Sent: 9/23/03 SHU Signature JMBarnes

NWML Contact: TRACEE M. TAYLOR	Room No.: 2100, All
	Phone No.: (301) 837-3043

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-436-03-5

Date Sent: 9/10/03

Date Received: _____

Return to sender by: 9/17/03

Route to: Ann Cummings, NWCTC, Room 2600, All
Return to: Tracee M. Taylor, NWML, Room 2100, All

- A. This job has also been sent to: **NWMD, NWME, NWMWA and NR**
- B. NWML general comments on this job: **See attached schedule items pertaining to ATF's National Field Office Case information System (N-FOCIS).**
- C. NWML wishes assistance in appraising these records:

FOR STAKEHOLDER USE. Check the applicable options, and provide the information requested.

- 1. We waive informal review. ___ Please send copy of completed job.
- ___ 2. We wish to review appraisal report. ___ Please send copy of completed job.
- ___ 3. We wish to participate directly in appraising the entire job or the following schedule items:
_____. SHU point of contact for appraisal is:
_____. Phone No. _____.

SHU comments: _____

Date Sent: 9/22/03 SHU Signature *Tracy M. Taylor* *AK*

NWML Contact: TRACEE M. TAYLOR	Room No.: 2100, All
	Phone No.: (301) 837-3043

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-436-03-5

Date Sent: 9/10/03

Date Received: SEP 11 2003

Return to sender by: 9/17/03

Route to: Jeanne Schauble, NWMD, Room 2600, All
1.
Return to: Tracee M. Taylor, NWML, Room 2100, All

- A. This job has also been sent to: NWMWA, NWME, NR and NWCTC
- B. NWML general comments on this job: **See attached schedule items pertaining to ATF's National Field Office Case information System (N-FOCIS).**
- C. NWML wishes assistance in appraising these records:

FOR STAKEHOLDER USE. Check the applicable options, and provide the information requested.

- NWML* 1. We waive informal review. ___ Please send copy of completed job.
- ___ 2. We wish to review appraisal report. ___ Please send copy of completed job.
- ___ 3. We wish to participate directly in appraising the entire job or the following schedule items:
- _____. SHU point of contact for appraisal is:
- _____. Phone No. _____.

SHU comments: _____

Date Sent: 9/11/03 SHU Signature: *Tracee M. Taylor*

NWML Contact: TRACEE M. TAYLOR	Room No.: 2100, All
	Phone No.: (301) 837-3043

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-436-03-5

Date Sent: 9/10/03

Date Received: _____

Return to sender by: 9/19/03

Route to: David Weber/Jackie Fultz, NR, Room 3600, All
1
Return to: Tracee M. Taylor, NWML, Room 2100, All

- A. This job has also been sent to: **NMWA, NWCTC, NWMD and NWME**
- B. NWML general comments on this job: **See attached schedule items pertaining to ATF's National Field Office Case information System (N-FOCIS).**
- C. NWML wishes assistance in appraising these records:

FOR STAKEHOLDER USE. Check the applicable options, and provide the information requested.

- 1. We waive informal review. Please send copy of completed job.
- ___ 2. We wish to review appraisal report. ___ Please send copy of completed job.
- ___ 3. We wish to participate directly in appraising the entire job or the following schedule items:
_____. SHU point of contact for appraisal is:
_____. Phone No. _____.

SHU comments: Concur

Date Sent: 11 Sept 03

SHU Signature Jackie Fultz

NWML Contact: TRACEE M. TAYLOR	Room No.: 2100, All
	Phone No.: (301) 837-3043