

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-436-86-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/6/2023

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 16 superseded by DAA-0564-2013-0003-0008

Item 76a superseded by DAA-0564-2013-0005-0016

Items 76b and 85 superseded by DAA-0564-2013-0005-0015

Item 121A1 was superseded by DAA-0436-2012-0006-0003

Item 121A2 was superseded by DAA-0436-2012-0006-0004

Item 121B1 is an instruction

Item 121B2 was superseded by DAA-0436-2012-0006-0003

Item 121B3 was superseded by DAA-0436-2012-0006-0004

Item 164 superseded by DAA-0564-2013-0003-0006

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO	N1-436-86-2
1 FROM <i>(Agency or establishment)</i> Bureau of Alcohol, Tobacco and Firearms		DATE RECEIVED	8/18/87
2 MAJOR SUBDIVISION Administrative Programs Division		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Information Programs Branch		In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE EXT	DATE	ARCHIVIST OF THE UNITED STATES
Robert Masarsky/Cheryl Schuler	566-7077	8/26/87	<i>Frank A. Bunker</i>
6 CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B DATE	C SIGNATURE OF AGENCY REPRESENTATIVE	D TITLE
8/18/87	<i>Robert G Masarsky</i>	Records Management Officer

7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
RCS 101			
16	<u>Plans, Problems, Progress Report.</u> These are reports of activities prepared on a monthly basis outlining important accomplishments. DESTROY WHEN 1 YEAR OLD.		
76	<u>Chemists' Analysis Reports.</u> These are copies of chemists' reports of analysis of alcoholic beverages, tobacco products and evidentiary materials. a. Law Enforcement laboratory reports. DESTROY WHEN 10 YEARS OLD. b. Compliance Operations laboratory reports. DESTROY WHEN 2 YEARS OLD.	N1-436-77-2	
79	<u>Card Records of Analysis.</u> These are index cards showing data pertinent to the analysis of Compliance Operations samples. DESTROY 2 YEARS AFTER COMPLETION OF ANALYSIS, PROVIDING THERE IS NOT COURT CASE PENDING RELATING TO THE TESTS.	N1-436-77-2	

All changes to this proposed schedule have been approved by _____ date 8/18/87
 Agency representative *Robert G Masarsky*
 NARA appraiser *John Williams* date 8/19/87

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
RCS 101			
81	<p><u>Samples Index Books</u>. These are records containing information as to samples received, including laboratory number, date received, how submitted, date of report, and disposition of samples.</p> <p>DESTROY WHEN 10 YEARS OLD.</p>	NC1-436-77-2	
82	<p><u>Correspondence (Technical)</u>. This is correspondence with the HQ laboratory, other regional laboratories, learned societies, colleges and universities and producers and distributors of scientific matters, and on matters involving laboratory services to local, State, or Federal agencies.</p> <p>a. HQ correspondence.</p> <p>DESTROY WHEN 3 YEARS OLD.</p> <p>b. All other correspondence.</p> <p>DESTROY AFTER 2 YEARS OR THEREAFTER WHEN NO LONGER NEEDED FOR LABORATORY PURPOSES.</p>	NC1-436-77-2	
85	<p><u>Report of Laboratory Examination</u>. These files contain reports of each alcohol sample analyzed in the laboratory.</p> <p>DESTROY WHEN 5 YEARS OLD.</p>		
110	<p><u>HQ Initiated Criminal Files</u>. These files contain reports of investigations, reports recommending prosecution, and related material for investigations relating to Federal alcohol, tobacco, firearms and explosives statutes. These files are initiated at HQ and assigned a HQ Investigation Number.</p> <p>TRANSFER TO FEDERAL RECORDS CENTER 5 YEARS AFTER INVESTIGATION IS CLOSED. DESTROY AFTER CLOSE OF FISCAL YEAR PLUS 20 YEARS.</p>		
111	<p><u>Quarterly AUO Certification Files</u>. These are records of overtime certification and overtime activity for all field Special Agents in Charge and Special Agents assigned to HQ.</p> <p>DESTROY AFTER FISCAL YEAR OF REPORT PLUS 7 YEARS.</p>		
121	<p><u>Annual Firearms Manufacturing and Exportation Files</u>. These are copies of forms which are used to report (annually) the quantity of firearms manufactured and exported by manufacturers of firearms licensed under the Gun Control Act of 1968.</p> <p>DESTROY WHEN 5 YEARS OLD, OR WHEN ALL ADMINISTRATIVE NEEDS HAVE ENDED. See attached.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION

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7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
121	<p><u>Annual Firearms Manufacturing and Exportation Files.</u> (cont'd)</p> <p>A. 1968-1986.</p> <p>1) Paper Copies: TRANSFER TO NATIONAL ARCHIVES WHEN MICROFILM COPY HAS BEEN VERIFIED.</p> <p>2) Microfilm: DESTROY WHEN NO LONGER NEEDED FOR ADMINISTRATIVE USE.</p> <p>B. 1987-</p> <p>1) Microfilm every 5 years.</p> <p>2) Paper Copies: TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN MICROFILM IS VERIFIED.</p> <p>3) Microfilm: DESTROY WHEN NO LONGER NEEDED FOR ADMINISTRATIVE USE.</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
164	<p><u>Closed Study Files.</u> These files contain material compiled in making studies which do not result in the issuance of a regulation or directive, recommendations, reports, and other related data.</p> <p>DATA 10 YEARS AFTER STUDY IS CLOSED.</p>	NC1-436-80-2	
165	<p><u>Card Index of Closed Studies.</u> Described in item 164.</p> <p>DESTROY 10 YEARS AFTER STUDY IS CLOSED.</p>	NC1-436-80-2	
178	<p><u>Enrollment to Practice Before ATF.</u> These files contain applications and approval letters and any related correspondence, cards, background information for individuals applying for enrollment to practice before ATF on alcohol, tobacco, firearms, or explosives matters.</p> <p>DESTROY 2 YEARS AFTER NONRENEWAL.</p>		
<u>RCS 201</u>			
22	<p><u>AUO Quarterly Certification Files.</u> These are files containing special agents' quarterly verification of administratively uncontrollable overtime, ATF F 2550.2.</p> <p>DESTROY AFTER AUDITED OR INSPECTED BY BUREAU AND/OR TREASURY.</p>		
23	<p><u>General Administrative Files.</u> These are files relating to administrative procedures, studies, and correspondence.</p> <p>DESTROY AFTER FISCAL YEAR OF PREPARATION PLUS 3 YEARS.</p>		
24	<p><u>Collateral Investigation Files.</u> These are investigative records resulting from requests by other ATF offices to conduct collateral investigations.</p> <p>DESTROY 3 YEARS AFTER CLOSE OF INVESTIGATION.</p>		
38	<p><u>Electronic Surveillance Reports and Recordings.</u> These are requests and reports of use, whether in written formats or TECS messages, covering the use of electronic interception and tracking devices. This also includes recorded conversations, e.g., tapes or other types of records.</p> <p>a. Consensual monitoring.</p> <p>DESTROY 6 YEARS AFTER CASE IS CLOSED.</p> <p>b. Non-consensual monitoring.</p> <p>DESTROY ONLY UPON ORDER OF ISSUING OR DENYING JUDGE. RETAIN FOR A MINIMUM OF 10 YEARS.</p>	NC1-436-85-1	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
43	<p><u>Special Agent Weekly/Monthly Time and Activity Summary.</u> These are copies of ATF F 3100.6 used to collect information related to the opening, closing, classification and disposition of investigations as well as an official time and activity to include administratively uncontrollable overtime (AUO) reports.</p> <p>DESTROY WHEN 5 YEARS OLD.</p>		
45	<p><u>Collateral Investigation Files.</u> These are investigative records resulting from requests by other ATF offices to conduct collateral investigations.</p> <p>DESTROY 3 YEARS AFTER CLOSE OF INVESTIGATION.</p>		
46	<p><u>General Administrative File.</u> These are files containing memorandums, correspondence, studies and other general information.</p> <p>DESTROY AFTER FISCAL YEAR OF PREPARATION PLUS 3 YEARS.</p>		
97	<p><u>Statement of Adjustment to the Puerto Rican or Virgin Island Tax Account.</u> This file contains copies of ATF F 5600.8 and any background information needed to complete report.</p> <p>DESTROY AFTER FISCAL YEAR OF PREPARATION PLUS 6 YEARS.</p>		
115	<p><u>Control Record of Tax Liability.</u> These are control card records of tax liability on ATF F 5020.4.</p> <p>a. Operating business.</p> <p>DESTROY 2 YEARS AFTER CARD IS FILED.</p> <p>b. Discontinued business.</p> <p>DESTROY 2 YEARS AFTER DISCONTINUANCE OF BUSINESS, OR 2 YEARS AFTER ALL OUTSTANDING LIABILITY HAS BEEN SATISFIED, WHICHEVER IS EARLIER.</p>	NC1-436-77-2	
122	<p><u>Emergency Relocation Records.</u> These records include copies of forms, reports and other documents relating to the emergency relocation program.</p> <p>DESTROY 1 YEAR AFTER DISAPPROVAL.</p>	NC1-436-77-2	

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
130	<p><u>Firearms Licensee File (DENIED, ABANDONED, OR WITHDRAWN).</u> These files relate to firearms and contain correspondence, admonitory letters, demand letters, inspection reports and copies of applications for firearms licenses which have been denied, abandoned or withdrawn.</p> <p>DENIED - DESTROY WHEN 10 YEARS OLD. ABANDONED - DESTROY WHEN 5 YEARS OLD. WITHDRAWN - DESTROY WHEN 5 YEARS OLD.</p>	NC1-436-77-2	
131	<p><u>Firearms Licensee File (REVOKED).</u> These files relate to firearms and contain the application, correspondence, admonitory letters, demand letters, and inspection report prepared for each applicant/licensee, and a copy of the license which was revoked.</p> <p>DESTROY WHEN 10 YEARS OLD.</p>	NC1-436-77-2	
132	<p><u>Firearms Licensee File (NOT RENEWED).</u> These files relate to firearms and contain the application, correspondence, admonitory letters, demand letters, inspection reports prepared for each applicant/licensee, and a copy of the license which was not renewed.</p> <p>DESTROY WHEN 3 YEARS OLD.</p>	NC1-436-77-2	
133	<p><u>Explosives Licensee and Permittee File (DENIED, ABANDONED, OR WITHDRAWN).</u> These files relate to explosives and contain correspondence, admonitory letters, demand letters, inspection reports, and copies of applications which have been denied, abandoned, or withdrawn.</p> <p>DENIED - DESTROY WHEN 10 YEARS OLD. ABANDONED - DESTROY WHEN 5 YEARS OLD. WITHDRAWN - DESTROY WHEN 5 YEARS OLD.</p>	NC1-436-77-2	
134	<p><u>Explosives Licensee and Permittee File (REVOKED).</u> These files relate to explosives and contain the applications, correspondence, admonitory letters, demand letters, inspection reports prepared for each applicant/licensee and a copy of the license or permit which was revoked.</p> <p>DESTROY WHEN 10 YEARS OLD.</p>	NC1-436-77-2	
135	<p><u>Explosives Licensee and Permittee File (NOT RENEWED).</u> These files relate to explosives and contain the application, correspondence, admonitory letters, demand letters, and inspection reports prepared for each applicant/licensee, and a copy of the license or permit which was not renewed.</p> <p>DESTROY WHEN 3 YEARS OLD.</p>	NC1-436-77-2	