

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-436-76-02

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 09/23/2021

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These items, unless subsequently superseded, may be used by the agency to disposition records.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 other items remain 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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 1 was superseded by NC1-436-80-03, item 1

Item 1 was also stated to be superseded by DAA-0564-2013-0003-0003

Item 2 was superseded by NC1-436-80-03, item 2

Item 3 was superseded by NC1-436-80-03, item 3

Item 6 was superseded by NC1-436-80-03, item 4

Item 7 was superseded by NC1-436-80-03, item 6

Item 25 was superseded by NC1-436-78-02, item 28

Item 27 was superseded by NC1-436-78-02, item 25

Item 31 was superseded by NC1-436-78-02, item 29

Item 32 was superseded by NC1-436-78-02, item 40

Item 35 was superseded by NC1-436-78-02, item 26

Item 36 was superseded by NC1-436-78-02, item 30

Item 43 was superseded by NC1-436-80-03, item 7

Item 40 was superseded by NC1-436-78-02, item 33

Item 41 was superseded by NC1-436-78-02, item 32

Item 42 was superseded by NC1-436-78-02, item 37

Item 43 was superseded by NC1-436-78-02, item 35, but also shows as superseded by NC1-436-80-03, item 7

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Item 44 was superseded by NC1-436-78-02, item 34, but also shows as superseded by NC1-436-80-03, item 8

Item 45 was superseded by NC1-436-78-02, item 31

Item 49 was superseded by NC1-436-78-02, item 71

Item 50 was superseded by NC1-436-78-02, item 75

Item 51 was superseded by NC1-436-78-02, items 42 and 85

Item 52 was superseded by NC1-436-78-02, items 39 and 81

Item 70 was superseded by NC1-436-78-02, item 73

Item 74 was superseded by NC1-436-78-02, item 70

Item 76 was superseded by NC1-436-78-02, item 74

Item 77 was superseded by NC1-436-78-02, item 82

Item 80 was superseded by NC1-436-78-02, items 36 and 78

Item 81 was superseded by NC1-436-78-02, item 79

Item 84 was superseded by NC1-436-78-02, items 41 and 83

Item 86 was superseded by NC1-436-78-02, item 84

Item 87 was superseded by NC1-436-78-02, item 38

Item 88 was superseded by NC1-436-78-02, item 77

Item 89 was superseded by NC1-436-78-02, item 76

Item 91 was superseded by NC1-436-78-02, item 80

Item 92 was superseded by NC1-436-78-02, items 27 and 72, but also shows as superseded by N1-436-90-002, items 7 and 10.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

TO GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Treasury

2. MAJOR SUBDIVISION

Bureau of Alcohol, Tobacco & Firearms

3. MINOR SUBDIVISION

Information Management Division

4. NAME OF PERSON WITH WHOM TO CONFER

Jack O'Leary

5. TEL EXT

961-7927

6. CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK	
DATE RECEIVED JUN 22 1976	JOB NO NC 1-436-76-2
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
<p>9-30-76 <i>James L. O'Heil</i> (Date) <i>acting</i> Archivist of the United States</p>	

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 13 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

6/17/76
Date

(Signature of Agency Representative)

Geraldine M. Jones
for Chief, Information Management Div.

(Title)

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	The records described below are created and accumulated in the field offices of the Bureau of Alcohol, Tobacco & Firearms.		

Copy to Agency 10-4-76
Copy sent NMF 10-1-76
Copy to All FARC's 10-21-76

65 items

RECORDS CONTROL SCHEDULE 201ADMINISTRATIVE RECORDS

Item No.	Description of Records & Disposition Authorization
1.	General Administrative Management Files - These files contain correspondence, reports, studies, surveys and related documents pertaining to the general housekeeping functions involved in the administration and operation of field offices.
	DESTROY after ^{when} 3 years <i>old</i> .
2.	Periodic recurring reports - These are regional record copies of recurring management, statistical, and information reports of field activities, the originals of which are submitted to Bureau Headquarters; and feeder reports used in preparing consolidated reports. They include reports of transactions at plants, factories, and premises of permittees; reports of seizures, arrests, investigations, major violations, and raw materials; and narrative reports of activities, accomplishments and problems. (Note: This item does not include copies of reports specifically covered by other items in this schedule.)
	a. Record copies of recurring reports.
	DESTROY after ^{when} 3 years <i>old</i>
	b. All other copies.
	DESTROY when superseded or obsolete.
3.	Issuances from Bureau Headquarters - These are reference copies of issuances such as Treasury Decisions, Manual Orders, Manual Notices, Industry Circulars and other internal management documents.
	a. Regional office reference set.
	DESTROY after ^{when} 5 years ^{<i>old</i>} , or when no longer needed for reference purposes, whichever is earlier.
	b. All other copies.
	DESTROY when superseded or obsolete.

4. Internal Control Records - These records consist of card files and other records developed to facilitate the operation of an office, having no relation to other files maintained. (Note: This item does not include card files and other control records listed in or specifically covered by other items in this schedule.)

DESTROY when no longer required for control of associated records.

5. Training Program Records - These records contain reports, correspondence and related data with respect to the various training programs.

DESTROY ^{when} after 3 years *old*

6. Seized Property Records - These are records of seized, forfeited or abandoned property which have not been made part of a criminal case file.

DESTROY 5 years after case is closed.

7. Personal Property Records - These are records of personal property, equipment and supplies.

DESTROY 3 years after property is disposed of, or when no longer needed for administrative purposes.

- ~~8. Procurement Records - These are contract, requisition, purchase order, lease, and bond and surety records including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.~~

- ~~a. Transaction of more than \$10,000;~~

~~DESTROY 6 years after final payment.~~

- ~~b. Transaction of \$10,000 or less.~~

~~DESTROY 3 years after final payment.~~

9. This item covers personnel records not listed on the General Records Schedules.

- ~~a. Character - Background Case File;~~

DELETE

~~(1) All case files except those covered by (2), (3), and (4) below.~~

~~DESTROY 5 years after case is closed.~~

~~(2) Employee notice of proposed adverse action, with opportunity to reply, and notice of final decision.~~

~~CONVERT to adverse action case file.~~

~~(3) Records of employee suits in U.S. Courts.~~

~~DESTROY 5 years after court action is completed.~~

~~(4) Cases of continuing interest.~~

~~DESTROY 5 years after date of last document in file.~~

b. Conduct Case File:

(1) All case files except those covered by (2), (3), and (4) below:

DESTROY 7 years after case is closed.

(2) Adverse action records (including a suspension of 30 days or less):

CONVERT to an adverse action case file.

(3) Employee appeals (within the Department on an action less than suspension; or files suit in a U.S. District Court):

DESTROY 7 years after appellate or judicial action is completed.

(4) Cases of continuing interest:

DESTROY 7 years after date of last document in file.

c. Adverse Action Case File:

(1) All case files except those covered by (2) and (3) below:

~~DESTROY 7 years after case is closed.~~

~~(2) Employee appeals of adverse action (including separation of a probationer for preemployment reasons, and suspension of a nonprobationer for 30 days or less) (c)~~

~~CONVERT to an employee appeal file.~~

~~(3) Cases of continuing interest (c)~~

~~DESTROY 7 years after date of last document in file.~~

d. Employee Appeal Files

DESTROY 25 years after appellate or judicial action is completed.

RETIRE inactive file to Federal records center 5 years after date of last document in file.

e. Grievance Appeal Files (c)

DESTROY 7 years after case is closed.

RETIRE to Federal records center 2 years after date of last document in file.

f. Transcripts of Grievance and Employee Appeal Hearings (c)

~~DESTROY upon completion of all appellate or judicial action.~~

10. Privacy Act Records - These are copies of ATF F 1200.5, Accounting for Disclosure, and related Privacy Act records.

DESTROY ^{when} after 5 years ^{old,} or when the record which has been disclosed is disposed of, whichever is earlier. (Copies of ATF F 1200.5, are retained at Bureau Headquarters for 5 years.)

11 - 24 RESERVED

CRIMINAL ENFORCEMENT

REGIONAL OFFICE RECORDS

(Note: Duplicate copies of the records covered by items 25 through 54 which are maintained at district offices or posts of duty, and which are not specifically covered by items 70 through 93, are considered to be nonrecord material and may be disposed of when no longer needed.)

25. Criminal Case Files (U.I. Files) - These are records maintained in regional offices of cases developed as a result of violations of the Federal Liquor Laws, the Gun Control Act of 1968, the Explosives Control Act of 1970, the Federal Wagering Laws, and other violations or suspected violations of the law.

DESTROY ^{when} ~~after~~ 50 years ^{old.}

^{Transfer}
~~RETIRE~~ to Federal records center ^{when} ~~after~~ 5 years ^{old.}

26. Index to Criminal Case Files, ATF F 1506, Violation Index Card.

DESTROY ^{when} ~~after~~ 50 years ^{old}, or after entered into the Treasury Enforcement Communications System, ^{whichever is earlier.}

27. Accident Cases - These are case files containing accident reports, exhibits, statements of fact, and related correspondence.

DESTROY 3 years after closing.

28. Index Card, Accident Investigations.

DESTROY 3 years after closing.

29. Nonwillful Wine Cases - These are cases not reported for prosecution but closed on the basis of taxpayment. These cases contain the report of action taken, copies of tax returns, offers in compromise, and related papers.

DESTROY 1 year after closing.

30. Unknown Defendant Seizure Cases - These are reports of seizures where no arrests were made. The reports are informational copies of ATF F 3270.4, Criminal Violation Report, or equivalent. The reports are

transmitted by special agents in charge to the regional offices.

DESTROY ~~after~~ ^{when} 1 year ^{old}.

31. Demand Letters - These are copies of demand letters which are formal written demands on primary distributors, jobbers, warehousemen, container manufacturers, wholesalers, importers, manufacturers of articles, and others. The records include copies of ATF F 67, Raw Materials Contact and Recommendation, or equivalent; releases, and related correspondence.

DESTROY 1 year after cancellation.

32. Returns and Voluntary Reports of Articles, Containers, and Substances - These records include returns on ATF F 169, Return of Articles, Containers or Substances, or equivalent, submitted voluntarily or as a result of demand letters by importers, producers, distributors, and others.

DESTROY ~~after~~ ^{when} 1 year ^{old}.

33. Records of Identification - These are photographs of defendants.

DESTROY ~~after~~ ^{when} 20 years ^{old}, or when no longer needed, ^{whichever is earlier.}

34. Technical Data for Experts' Use in Presenting Testimony - These are data prepared for the use of experts when testifying in cases perfected by other Federal agencies.

DESTROY 1 year after closing.

35. Informants' Contracts - These are contracts entered into with informants (promising to pay them for information), copies of related vouchers, and other pertinent information.

DESTROY 5 years after consummation.

36. General Enforcement Correspondence - Correspondence with the public regarding alleged violations and other related matters.

DESTROY ~~after~~ ^{when} 3 years ^{old}.

37. Quarterly Report of Pending Cases - These are reports prepared by special agents in charge for the purpose of keeping pending cases in balance.

GPO 894-014

DESTROY ~~after~~ ^{when} 1 year *old*.

38. Management Information System Records - These files contain records including assignment cards and copies of ATF F 1340.2, MIS Input Document, or equivalent, and related data.

DESTROY ~~after~~ ^{when} 1 year *old*.

39. Travel Voucher, Standard Form 1012, or equivalent, prepared by special agents incurring expenses during the month. One copy of each report is retained in the regional office.

DESTROY ~~after~~ ^{when} 1 year *old*.

40. Public Voucher for Purchases and Services Other Than Personal, Standard Form 1034A - These are regional office copies of Standard Form 1034A, or equivalent, covering miscellaneous expenditures.

DESTROY ~~after~~ ^{when} 1 year *old*.

41. Progress, Plans, Problems Reports - These are reports of enforcement activities prepared on a monthly basis, outlining important accomplishments. (NOTE: Original and two copies are furnished to Bureau Headquarters; one copy is retained in the regional office.)

DESTROY ~~after~~ ^{when} 1 year *old*.

42. Remittance of Proceeds from Sale or Other Disposition of Forfeited Seized Property - This item covers copies of ATF F 1850.8, Seized Property Remittance for Deposit, or equivalent, maintained in the regional offices; other copies are maintained in SAC offices.

DESTROY ~~after~~ ^{when} 3 years *old*

43. Quarterly Report - Forfeited Property Transferred to Bureau of Prisons - regional office copies of ATF F 2549, or equivalent, the originals of which are sent to the Bureau Headquarters.

DESTROY ~~after~~ ^{when} 2 years *old*

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44. Quarterly Report-Forfeited Firearms Retained for Official Use and/or Destroyed - regional office copies of ATF F 3400.7, or equivalent, the originals of which are transmitted to Bureau Headquarters.

DESTROY ^{when} after 2 years *old*.

45. Motor Vehicle Records and Reports - These are records and reports covering motor vehicles assigned to enforcement activities.

DESTROY 1 year after motor vehicle is dispose of.

~~46. Application and Permit for Importation of Firearms, Ammunition and Implements of War - These files contain copies of ATF F 6 Parts I and II, or equivalent, filed by firearms licensees and by members of the Armed Forces. (NOTE: The copy retained by Bureau Headquarters is the record copy.)~~

~~DESTROY when no longer needed for matching or reference purposes.~~

47. Release and Receipt of Imported Firearms, Ammunition and Implements of War- These files contain copies of ATF F 6A received from licensed importers showing that the item described was released by Customs.

DESTROY 5 years after receipt. Retire to Federal records center when no longer needed for matching or active reference purposes.

48. Petition for Relief from Disabilities File- These files contain reports on individual applicants for "Relief from Disabilities pursuant to Section 925 (c) Title 18, U.S.C."

A. Granted cases

DESTROY ^{when} after 5 years *old*.

B. Denied cases

DESTROY ^{when} after 10 years *old*.

49. Agents' Cashier Fund - These are records relating to the expenditure of Government funds for investigative purposes.

DESTROY ~~after~~ ^{when} 10 years *old*.

50. Intelligence and Electronic Surveillance Records.

DISPOSITION not authorized at this time.
Review for disposal in 5 years.

51. Treasury Enforcement Communications System Logs and Messages - These are incoming and outgoing messages transmitted via TECS.

DESTROY ~~after~~ ^{when} 1 year *old*.

52. Requests for Tracing Firearms and Explosives - These are requests and reports that do not result in a criminal case.

DESTROY ~~after~~ ^{when} 3 years *old*.

53. Enforcement Referrals - Non-Bureau Violations and Reports of Enforcement Referrals - These are reports on ATF F 4314 and 4314A, or equivalent.

DESTROY ~~after~~ ^{when} 3 years *old*.

54. Investigative Reports - These are reports on ATF F 3270.2 and 3270.3, Report of Investigation and Continuation Sheet, or equivalent, not covered elsewhere in this schedule.

DESTROY ~~after~~ ^{when} 3 years *old*.

55 - 69 RESERVED

CRIMINAL ENFORCEMENT

DISTRICT OFFICES AND POSTS OF DUTY RECORDS

70. Criminal Case File - (U.I. Files) - These are records maintained in district offices and POD's developed as a result of violations of the Federal Liquor Laws, the Gun Control Act of 1968, the Explosives Control Act of 1970, and the Federal Wagering Laws. (NOTE: copies of these cases are submitted to Bureau Headquarters through the regional office. Records in the district offices have continual reference value for the length of time specified.) ATF F 3270.6, Progress Record of Case, or equivalent, now contained in the file remains in the office.

A. Form 3270.6, Progress Record of Case

DESTROY 20 years after related case is closed.

B. Balance of the case folder.

DESTROY 3 years after closing.

71. Index to Criminal Case Files, ATF F 1506, Violation Index Card.

DESTROY ~~after~~ ^{when} 50 years ^{old}, or after entered into the Treasury Enforcement Communications System, *whichever is earlier.*

72. Nonwillful Wine Cases - These are cases not reported for prosecution but closed on the basis of taxpayment. The files contain the report of action taken.

DESTROY 2 years after closing.

73. Offers in Compromise, Nonwillful Cases - These files contain copies of offers in compromise and related papers, taken in connection with nonwillful cases.

DESTROY 5 years after closing.

74. Accident Cases - These cases contain accident reports, exhibits, statements of fact, and related correspondence.

DESTROY ~~after~~ ^{when} 3 years *old.*

75. Complaint Correspondence - This is correspondence with the public relating to violations, not a part of any other item included in this schedule.

DESTROY ^{when} ~~after~~ 1 year old.

76. Demand Letter Files - These are formal written demands on primary distributors, jobbers, warehousemen, container manufacturers, wholesalers, importers and manufacturers of articles, and others. Included are copies of ATF F 67, Raw Materials Contact and Recommendation, or equivalent, releases, and related correspondence.

DESTROY 3 years after cancellation.

77. Returns and Voluntary Reports of Articles, Containers and Substances - These records include returns of ATF F 169, Return of Articles, Containers, or Substances, or equivalent, submitted voluntarily or as a result of demand letters, by importers, producers, distributors, and others, covering articles, containers, and substances.

DESTROY 1 year after receipt.

78. Voluntary Cooperation Letters - These are letters from refineries, manufacturers, dealers, etc., that have agreed to submit voluntary reports with respect to articles, containers, and substances; and related papers.

DESTROY on discontinuance of business.

79. Record of Importation of Raw Materials - These are notices received from Customs with reference to the importation of raw materials.

DESTROY 1 year after receipt.

80. Register of Raw Materials Dealers and Users - ATF F 67 - These are records prepared by investigators on ATF F 67, or equivalent, covering interviews with raw materials and container dealers.

DESTROY 1 year after discontinuance of business.

GPO 854-C

81. Remittance of Proceeds from Sale or Other Disposition of Forfeited Seized Property, ATF F 1850.8, Seized Property Remittances for Deposit - Copies of ATF F 1850.8, or equivalent, maintained in SAC offices. (Other copies are maintained in the regional office. See item 42).

DESTROY ~~after~~ ^{when} 3 years *old*

82. Quarterly Report - Forfeited Property Transferred to Bureau of Prisons, ATF F 2549 - These are copies of ATF F 2549, or equivalent, the originals of which are sent to Bureau Headquarters.

DESTROY ~~after~~ ^{when} 3 years *old*.

83. a. MIS Records - These files contain Management Information System records, including assignment cards and copies of ATF F 1340.2, MIS Input Document, or equivalent, and related data.

DESTROY ~~after~~ ^{when} 1 year *old*.

- b. MIS Reports No. 1 and 2 - These are computer printout reports produced at the Data Center.

DESTROY after 1 year, or when no longer needed, *whichever is earlier.*

84. Statistical Reports Files - These are retained copies of statistical reports prepared by special agents in charge. They include ATF F 1323.1, Monthly Report of Distillery and Liquor Seizures, and ATF F 1323.2, Quarterly Property Report, and ATF F 3600.1, Monthly Report of Cases and Arrests, or equivalent.

DESTROY ~~after~~ ^{when} 1 year *old*

85. Seized Property Records - These are records of seized, forfeited or abandoned property which have not been made part of a criminal case file.

DESTROY 3 years after disposition of property.

86. Travel Voucher, Standard Form 1012 - These are prepared by special agents on Standard Form 1012, or equivalent, incurring expenses during the month. One copy of the report is retained in the post of duty; other copies are forwarded to the regional office.

DESTROY ~~after~~ ^{when} 1 year *old*.

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87. Reports of Government Bills of Lading - These are reports made by special agents in charge of the use of Government bills of lading.

DESTROY ~~after~~ ^{when} 2 years *old*.

88. Public Voucher for Purchases and Services Other Than Personal, Standard Form 1034A - These are copies of Standard Form 1034A, or equivalent, covering miscellaneous expenditures.

DESTROY ~~after~~ ^{when} 1 year *old*.

89. Motor Vehicles Records and Reports - These are records and reports covering motor vehicles assigned to enforcement activities.

DESTROY 1 year after motor vehicle is disposed of.

90. Report of Seized Property (Other Than Money, Securities, and Similar Property) - These are copies of reports of seized property prepared but not used because of allowance of a petition for remittance or mitigation of forfeiture, or acceptance of an offer in compromise.

DESTROY on allowance of petition or acceptance of offer.

91. Reports of Multiple Sale or Other Disposition of Pistols and Revolvers - These are reports on ATF F 3310.4, or equivalent.

DESTROY ~~after~~ ^{when} 1 year *old*

92. Agents Diaries - These are records maintained by special agents to record a breakdown of daily activities by time and date.

DESTROY ~~after~~ ^{when} 6 years *old*.

93. Contemporaneous Notes - These are records maintained by special agents relating to criminal investigative intelligence, information regarding a subject, violator, violation or suspected violation, and related data.

DESTROY one year after the entry date or the close of the investigation, whichever is later.

94 - 110 RESERVED