

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-436-80-02**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 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These items, unless subsequently superseded, may be used by the agency to disposition records.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### **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

Items 2a and 2b superseded by DAA-0564-2013-0003-0066

Item 3 superseded by DAA-0564-2013-0003-0001

Items 5 and 6 were superseded by DAA-0060-2017-0009-0002

Items 13, 14, 15, 18 superseded by DAA-0564-2013-0003-0008

Item 28 superseded by DAA-0564-2013-0008-0005

Item 73 superseded by DAA-0564-2013-0003-0007

Item 74 superseded by DAA-0564-2013-0003-0007 and DAA-0564-2013-0005-0047

Item 75 superseded by DAA-0564-2013-0005-0043

Item 99 superseded by DAA-0564-2013-0005-0037

Item 100 superseded by DAA-0564-2013-0005-0030

Item 169 was superseded by DAA-0436-2019-0002-0001

Item 180a was superseded by DAA-0436-2012-0009-0001

Items 180b and 180c were superseded by DAA-0436-2012-0009-0002

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Item 211 superseded by DAA-0564-2013-0003-0069

Items 212, 213, 214 superseded by DAA-0564-2013-0003-0070

Item 232 superseded by DAA-0564-2013-0004-0004

Item 235 for TTB only superseded by DAA-0564-2015-0001-0001

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR RECORDS**  
(See Instructions)

**DISPOSITION AUTHORITY**  
(See Instructions)

LEAVE BLANK

NCI-436-802

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

DATE RECEIVED

February 20, 1980

1. FROM (AGENCY OR ESTABLISHMENT)

DEPARTMENT OF THE TREASURY

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION

BUREAU OF ALCOHOL, TOBACCO AND FIREARMS

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

3. MINOR SUBDIVISION

INFORMATION MANAGEMENT DIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

JACK O'LEARY

5. TEL. EXT.

566-7927

9-11-80  
Date

*Robert V. Vance*  
Archivist of the United States

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

☐ A Request for immediate disposal.

☒ B Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
9/26/79	<i>John S. Baker</i>	Chief, Records and Reports Branch
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.
	<p>This certifies that the records described in Items 98a and 186a will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.</p> <p>All pen and ink changes posted to this schedule have been made with the concurrence of the agency records officer. 2/19/80 <i>PHB</i> 5/1/80 <i>DWC</i></p>	
10. ACTION TAKEN		

*Copies to NCW, NNF  
Closed 9-22-80  
PNB agency*

CHAPTER B. RECORDS CONTROL SCHEDULE 101 - HEADQUARTERS RECORDS

ADMINISTRATIVE RECORDS

Item No.      Description of Records & Disposition Authorization

1. Historical Administration and Organization Records - These files contain reports, correspondence, studies, narrative histories, organization charts, and related records documenting the overall mission of the Bureau and providing background, or program continuity, to the policies, procedures, and accomplishments of the Bureau.

Disposition not authorized at this time.

2. General Administrative Management Files - These files contain routine correspondence, reports, studies, surveys, and related documents pertaining to the overall administration and operation of Headquarters offices.

DESTROY when 3 years old, or when no longer needed in current operations, whichever is earlier.

3. Administrative Management Document Files - These files contain a record copy of each ATF directive, publication, handbook, industry circular, or policy statement and associated data, relating to Bureau administrative, organizational, or statistical matters.

PERMANENT RECORDS.

TRANSFER to Federal records center when 15 years old.

OFFER to NARS when 30 years old.

4. Working papers that are not needed for reference after preparation of related documents in final form, such as tabulations, preliminary drafts of reports, internal management documents, proposed changes in laws or regulations; and similar preliminary or backup material. Among these records are extra copies of organizational and personnel charts, reports, or other materials that are maintained solely for reference. (NOTE: This item excludes background materials which contribute to an understanding of or provide an explanation for completed documents, and which are covered in other items on this schedule.)

DESTROY on publication or completion of related documents  
or when no longer needed for administrative purposes

5. Training Text and Instructor Guide - These files contain training texts and instructor guides prepared in Headquarters, covering various Bureau activities and functions, and related papers.

- a. Reference copy.

DESTROY when 10 years old.

- b. All others:

DESTROY when superseded or obsolete or no longer needed  
for administrative purposes.

6. General Training File - These files contain student guides, reports, records of participants, and related papers and correspondence.

- a. Student guides.

DESTROY when superseded or obsolete or when no longer  
needed for administrative purposes

- b. All others.

DESTROY when 5 years old.

7. Seized Personal Property Reports - These are reports from field offices covering seizures. Also included in this file series are reports of applicants to courts, reports of court orders covering disposition of seized or forfeited property, and related reports and correspondence.

DESTROY 3 years after property item is removed from legal  
custody of the Bureau of Alcohol, Tobacco and Firearms.

8. Forfeited Firearms Reports File - This file contains reports on ATF F 1850.20, Quarterly Report Firearms Retained, Transferred or Destroyed, or equivalent, and related correspondence.

DESTROY when 2 years old.

9. Consolidated Reports of Inspection Activities - These are consolidated reports of inspection activities and represent statistics compiled by Bureau Headquarters from information

reported on ATF F 5700.16, Monthly Field Operations Report, and ATF F 5700.17, Monthly Operations Report-Technical Services Activities, or equivalent forms.

DESTROY when 10 years old.

10. Regional Monthly Operations Report - These are monthly reports from regional offices on ATF F 5700.16, Monthly Field Operations Report, or equivalent, covering inspections and firearms and explosives activities. Reference material contained in the reports is used in program planning and control of inspection activities.

DESTROY when 10 years old.

11. Regional Quarterly Operations Report - These are quarterly reports from regional offices on ATF F 5700.17, Monthly Operations Report-Technical Services Activities or equivalent, covering inspections, firearms and explosives activities and action on violations. These reports contain reference material used in program planning and control.

DESTROY when 10 years old.

12. Semiannual Statistical Reports - These are semiannual reports from regional offices, submitted on ATF F 5700.5, Number of Establishments Authorized to Operate-Annual Statistical Report, or equivalent form.

DESTROY when 2 years old.

13. Annual Statistical Reports - These are annual reports from regional offices containing data submitted on the following forms, or equivalent forms: ATF F 5120.31, Winery Materials-Annual Statistical Report, and ATF F 5620.9, Claims-Annual Statistical Report.

DESTROY when 2 years old.

14. Annual Reports of Spirits in Warehouses - These are annual reports and related correspondence from regional offices submitted on the following form or equivalent: ATF F 5110.49 (332), Statement by Kinds, Seasons and Years of Production of Spirits in Bonded Warehouses.

DESTROY when 2 years old.

15. Monthly Reports of Operations - These are reports from regional offices covering operations at various types of establishments, not covered by other items of this schedule.

DESTROY when 2 years old.

16. Quarterly Statistical Reports of Strip Stamps - These are quarterly reports from regional offices on ATF F 5100.9, Strip Stamps Used on Containers of Distilled Spirits for Domestic Consumption-Quarterly Statistical Report, or equivalent.

DESTROY when 2 years old.

17. Periodic Narrative Reports - These are informal reports prepared periodically by regional offices covering activities, accomplishments, and problems in the region.

DESTROY when 1 year old.

18. Monthly and Other Periodic Reports (Criminal Enforcement) - These are reports from field offices on the following forms, or equivalent: ATF F 1323.1, Monthly Report of Distillery and Liquor Seizures, ATF F 1323.2, Quarterly Property Report, ATF F 3600.1, Monthly Report of Cases and Arrests.

DESTROY when 2 years old.

19. Statistical Posting Books - These are record books containing statistical reports received from regional offices covering enforcement activities. Statistics posted in these books form the basis for most of the statistical releases and reports of the Bureau including the annual release relating to alcohol, tobacco and firearms.

DESTROY when 20 years old.

20. Correspondence Relating to Statistical Data - This is correspondence with regional offices, industry members, and others regarding statistical matters.

- a. Correspondence relating to changes or corrections in reports and other correspondence of a routine nature.

DESTROY when 1 year old.

- b. All other.

DESTROY when 3 years old.

21. Statistical Mailing Lists - These are cards containing names and addresses of persons to whom various statistical releases are mailed.

DESTROY individual card when obsolete or superseded.

22. Vital Records - These files contain reports of the Bureau emergency preparedness program relating to emergency operating records and rights and interests records.

DESTROY when superseded or obsolete.

23. Budget Policy Files - These are files documenting policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for Bureau programs.

DESTROY when 7 years old.

24. Budget Estimates and Justification Files - These are copies of budget estimates and justifications. Included are appropriation language sheets, narrative statements, and related schedules and data.

DESTROY when 7 years old.

25. Time and Attendance Records - These are copies of T and A cards (Treasury forms TDF 10-11, H-1, H-2, and H-3) and Standard form 71 maintained by Bureau timekeepers. (Note: The original copies of T and A cards will be maintained by Headquarters and regional fiscal offices according to General Records Schedule 2.)

- a. Copies of time and attendance cards.

DESTROY 1 year and 3 months after the end of the leave year.

- b. Copies of Standard form 71.

- (1) If the time and attendance card has been initialed by the employee.

DESTROY at the end of the applicable pay period.

- (2) If the time and attendance card has not been initialed by the employee.

DESTROY after GAO audit or when 3 years old, whichever is sooner.



26. Time and Attendance Logs - These are files of ATF F 2600.2, Flexitime - Time and Attendance Logs, maintained in those Bureau offices where flexitime has been authorized.

DESTROY when 6 months old.

27. Forms Case Files - These are files containing forms, requisitions, background material on the authority for development of the form, and related correspondence.

DESTROY 5 years after form becomes obsolete or is superseded.

28. Congressional Correspondence File - These files contain copies of correspondence with members of Congress. Also included in the files are copies of incoming correspondence and related supporting and background material.

DESTROY when 5 years old.

29 - 52 RESERVED.

CRIMINAL ENFORCEMENT RECORDS

53. Killings and Assault File - These files consist of correspondence, reports, and related papers, pertaining to killings, woundings, injuries, etc., of special agents, police officers, violators, civilians; etc., during the usual course of enforcement investigations. ✓

DESTROY 10 years from date of closing.

54. Criminal Enforcement Routine Correspondence File - These files contain correspondence of a routine nature with field offices, producers, distributors, attorneys, other Government agencies, trade associations, and others.

DESTROY when 5 years old.

55. Petition for Relief from Disability Files - These files contain reports on individual applicants for "Relief from Disability pursuant to section 925(c), title 18, United States code."

- a. Granted cases.

DESTROY 5 years from date of decision.

- b. Denied cases.

DESTROY 10 years from date of decision.

- 56 - 72. RESERVED.

REGULATORY ENFORCEMENT RECORDS

73. Transitory Correspondence Files - These files contain general correspondence which quotes or paraphrases published documents and correspondence accompanying transmittal of materials. This category includes correspondence and documents concerning major disaster areas declared by the President and announced by the Federal Disaster Assistance Administration.

DESTROY when 6 months old.

74. General Correspondence Files, and Indexes Thereto - These files contain general nonprecedent correspondence, pertaining to Regulatory Enforcement matters, with other Government agencies, field offices, members of industry and the public.

DESTROY when 5 years old.

75. Regulatory Enforcement Historical Files - These files contain correspondence (with regional offices and others) concerning Regulatory Enforcement activities and functions, and related reports, memorandums, and other documents. Data in these files are of continuing research value, since they document Regulatory Enforcement programs and operations of the Bureau. (NOTE: This item excludes correspondence specifically covered in other items of this schedule, such as those relating to establishments and permits which include correspondence.)

PERMANENT RECORDS.

TRANSFER to Federal Records Center when 15 years old.

OFFER to NARS when 30 years old.

76. Offers in Compromise File - This file contains offers in compromise acted on in Bureau Headquarters, abstracts and statements, financial statements, appraisement lists, and other related papers and correspondence. The following forms, or equivalent forms, are included in the file: ATF F 5640.1, Offer in Compromise of Liability Incurred Under Chapters 51, 52, 53, and/or 78 of the IRC, ATF F 5640.2, Offer in Compromise of Liability Incurred Under the Federal Alcohol Administration Act, as Amended, and ATF F 3400.5, Offer in Compromise of Liability to Forfeiture of Seized Personal Property.

DESTROY 5 years after close of case.

77. Revenue Producing Establishment Files - These files relate to establishments qualified under 26 USC chapter 51 or 52. They include ATF F 27-B Supplemental (5110.38), Formula and Process for Rectified Products, ATF F 698, Supplemental (5120.29), Formula and Process for Wine, or equivalent forms, special applications, other documents, forms and related correspondence. The complete file of qualifying documents is maintained in regional offices.

DESTROY 5 years after discontinuance of business.  
Exception: ATF F 27-B Supplemental (5110.38) and ATF F 698 Supplemental shall be destroyed 5 years after they have been superseded or canceled.

78. United States Tax Free Alcohol Permits - These are copies of permits on ATF F 1444 (5150.33), Tax Free Spirits for Use of United States, or equivalent, issued to the United States or a Government agency for the procurement of alcohol free of tax, related correspondence, and surrendered permits.

DESTROY 2 years after surrender of permit.

79. United States Specially Denatured Spirits Permits - These are copies of permits on ATF F 1486, Specially Denatured Spirits for Use of United States, or equivalent, issued to the United States or a Government agency for the procurement of specially denatured spirits, related correspondence, and surrendered permits.

DESTROY 2 years after surrender of permit.

80. Lists of Industry Establishments - These are lists, prepared annually, of establishments authorized to operate.

DESTROY when lists are superseded or of no further administrative value.

81. Source Material for Lists of Industry Establishments - These are notice of ATF F 5000.3, Permit Status Memorandum, or equivalent, from regional offices, used to prepare the lists of establishments authorized to operate under the alcohol and tobacco tax laws and regulations.

DESTROY when superseded, or when business is discontinued, or when no longer needed for reference purposes, whichever is later. ✓

82. Establishment Lists Correspondence - This is correspondence with industry members, the general public, and others, regarding changes indistilled spirits plants and other establishments sent to regional offices.

DESTROY when 1 year old.

83. Revenue and ATF Rulings, Revenue and ATF Procedures, and Announcements - These are the official records of rulings, procedures and announcements relating to activities of the Bureau. They include copies of correspondence or other documents on which the ruling, procedure, or announcement is based.

DESTROY when superseded or obsolete, or when all administrative needs have ended.

84. Revenue and ATF Rulings and Revenue and ATF Procedures Control Record - These are records showing the chronology of action with respect to rulings and procedures relating to activities of the Bureau.

DESTROY when no longer needed for administrative purposes.

85. Record of Bottle Manufacturers - This is a control record used in assigning permit numbers to liquor bottle manufacturers, pursuant to requests from regional offices.

DESTROY when all administrative needs have ended.

86. Bottle Manufacturer Correspondence - This correspondence relates to operations by manufacturers of liquor bottles, including correspondence on the assignment of permit numbers.

DESTROY on discontinuance of business.

87. Control Card Record of Essences Covered by Wine and Rectified Products Formulas - These are card records, by name of manufacturer, covering essences, extracts, and other flavoring materials covered by wine and/or rectified products formulas, on ATF F 27-B Supplemental (5110.38), Formula and Process for Rectified Products, and ATF F 698 (5120.25), Application by Proprietor of Bonded Wine Cellar or Bonded Winery, or equivalent forms.

DESTROY when no longer needed for reference purposes.

88. Distinctive Container Correspondence - These files contain correspondence relative to the approval or disapproval of containers as distinctive.

DESTROY when 10 years old.

89. Record Books of Distinctive Containers - These are record books containing photographs of containers approved or disapproved as being distinctive for use in bottling beverage spirits.

DESTROY when 10 years old.

90. Pilot Operations Files - These files contain correspondence, reports and related papers relative to pilot operations conducted, on an experimental basis, at selected plant premises.

DESTROY when 3 years old, or when no longer needed for administrative purposes, whichever is later.

91. Background Material Relating to Regulations, ATF Directives, and Other Issuances - These are background materials on which documents, such as regulations, Treasury decisions, ATF directives, and industry circulars are based, drafts of the documents, correspondence, and other data which explain the development of and reason for the completed documents.

DESTROY when superseded or obsolete, or when all administrative needs have ended.

92. Work Files of Closed Studies - 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.

DESTROY 15 years after study is closed.

93. Card Index of Closed Studies, described in item 92.

DESTROY 15 years after study is closed.

94. Assignment Control Records Cards - These are card records covering assignments made within Regulatory Enforcement and control of documents such as regulations, Treasury Decisions, directives, and industry circulars prepared within the Bureau or routed to the Bureau for review, showing action on assignments.

DESTROY 5 years after closing.

95. Program Development and Coordination Staff Assignment Files - These files contain assignments on ATF F 5700.21, Regulatory Enforcement Assignment, or equivalent, which relate primarily to management and ATF program activities. Included in these files are studies, recommendations, reports, and related documents, records and correspondence.

DESTROY 5 years after completion of assignment.

96. Analyst Staff Assignment Files - These files contain assignments on ATF F 5700.21, Regulatory Enforcement Assignment, or equivalent, which relate to field activities. Included in the files are studies, recommendations, reports, and related documents, records, and correspondence.

DESTROY 4 years after completion of assignment.

97. Card Index Files of Staff Assignments Described in Item 96.

DESTROY individual card when related file is destroyed.

98. Label Applications - These are applications for approval of labels, notices of denial, and related papers.

- a. Original paper label applications.

DESTROY when 25 years old.

- b. Color microfilm copy of label applications.

Hold onsite. DESTROY when all reference needs have ended.

99. Label Correspondence - This is correspondence, with permittees and others, concerning labeling of alcoholic beverages, other than correspondence relating to label approval of exemption from label approval, covered by item 98 of this schedule.

DESTROY when 5 years old.

100. Advertising Copy Files - These files contain proposed advertising copy submitted for informal comments, and correspondence with permittees and others, concerning advertising practices.

DESTROY when 5 years old.

101. Interlocking Directorates Files - These files contain applications concerning interlocking directorates under section 8 of the Federal Alcohol Administration Act, and related correspondence, and papers.

DESTROY 10 years after approval or disapproval of application.

102. Distinctive Marks on Tobacco Packages - Applications and approvals/disapprovals relating thereto.

DESTROY 5 years after discontinuance of business.

103. Tobacco Products Sample Logs - Control record identifying filing location of documents relating to sampling of tobacco products.

DESTROY when 2 years old, or when no longer needed for control or reference purposes, whichever is later.

- 104 - 160 RESERVED.



TECHNICAL AND SCIENTIFIC SERVICES RECORDS

161. Laboratory Correspondence Files - These files contain correspondence relating to laboratory activities. The correspondence is generally technical in nature, and is used for research in the laboratory. It covers communications with universities, other laboratories, and laboratory staff.

DESTROY when 5 years old.

- 162.o Consolidated Reports of Analysis of Bottled Spirits - These are duplicate copies of consolidated quarterly reports, on ATF F 7100.1, Quarterly Report of Analysis of Authentic Bottled Distilled Spirits, or equivalent, covering analyses by all ATF laboratories.

- a. Record copy.

DESTROY when 10 years old.

- b. Reference copies.

DESTROY when 5 years old, or when no longer needed for reference purposes, whichever is earlier.

163. Articles Made From Specially Denatured Spirits Files - These files contain ATF F 1479-A (5150.19), Formula for Article Made with Specially Denatured Alcohol or Rum, or equivalent, covering formulas, labels, and processes for articles made with specially denatured spiritis; and related correspondence and papers. (NOTE: In case of Virgin Islands permittees, the file includes ATF F ACB-VI-102, (5150.36), Bond for Articles Brought into the United States Free of Tax, or equivalent forms.)

DESTROY 6 years after discontinuance of business of the establishment that obtained the ATF F 1479A (5150.19).

164. Formula and Process for Nonbeverage Product, ATF F 1678 (5530.5) - These are formulas on ATF F 1678 (5530.5), Formula and Process for Nonbeverage Product, or equivalent, filed by manufacturers of nonbeverage products on which drawback of the tax paid on spirits used in the product may be claimed; and related correspondence and papers.

DESTROY 6 years after discontinuance of business.

165. Sample Index Books - These are book records on ATF F 7110.7, Index Record Book of Samples, or equivalent, which contain information as to samples received in the Headquarters laboratory for testing.

DESTROY 10 years after last entry in the book.

166. Chemists' Record Books - These books, maintained individually by each chemist, contain a chronological record of analyses. They include the working notes and computations developed in the analyses of samples.

DESTROY 10 years after last analysis is completed.

167. Card Records of Analysis - These are index card records on ATF F 7110.4, Record of Analysis, or equivalent forms, showing data pertaining to the analysis of samples.

DESTROY when 5 years old.

168. Records of disposition of Samples - These files contain copies of ATF F 7110.9, Chemists Report of examination of Samples, or equivalent forms, and related records which are used by the laboratory as authority for disposition of samples.

DESTROY when 8 years old.

169. Report of Laboratory Examination - These files contain reports of analyses made in the laboratory in Rockville, Maryland. They include ATF F 7110.9, Chemists Report of Examination of Samples, and ATF F 7100.2, Report of Laboratory Examination, or equivalent forms.

DESTROY when 10 years old.

170. Permit Index Card Files - These files contain permit index cards on ATF F 5020.9, Permit File Index, or equivalent, received from field offices. They contain information as to the status of premises operated by specially denatured spirits users and to bottlers, repackagers, and reproducers of articles.

DESTROY individual card 6 years after discontinuance of business.

171. Calibration of Hydrometer File - This file contains copies of ATF F 7150.2, Calibration of Hydrometer; ATF F 7150.1, Calibration of Thermometer, and ATF F 2336, Graph for Hydrometer Corrections, or equivalent forms.

DESTROY when no longer needed for reference purposes.

172. Evidence Control Files - These files contain copies of ATF F 7110.10, Evidence Control Card, and ATF F 7120.1, Acknowledgement of Receipt of Evidence (Hqs use only), or equivalent forms.

DESTROY when 10 years old.

173. Samples Control Files - These files contain copies of ATF F 5030.4, Removal and Submission of Samples for Testing, or equivalent form.

DESTROY when 2 years old.

174. Record Cards Files - These files contain copies of ATF F 7130.6, Record Card.

DESTROY when 10 years old.

175. Photographic Work File - This file contains copies of ATF F 7140.2, Request for Photographic Work, or equivalent forms.

DESTROY when 2 years old.

176. Latent Identification Records File - This file contains copies of ATF F 7130.2, Latent Identification Record, and ATF F 7130.3, Palm Print Identification, or equivalent forms.

DESTROY when no longer needed for reference purposes.

177. National Firearms Registration and Transfer Record - The following forms , or equivalent forms, relate to firearms for which approval for possession, registration, or transfer must be obtained:  
ATF F 1 (7560.1), Application to Make and Register a Firearm,  
ATF F 2 (7560.2), Notice of Firearms Manufactured or Imported,  
ATF F 3 (7560.3), Application for Tax-Exempt Transfer of Firearms and Registration to Special (Occupational) Taxpayer,  
ATF F 4 (7560.4) Application for Tax-Paid Transfer and Registration of Firearm, ATF F 5 (7560.5), Application for Tax-Exempt Transfer and Registration of Firearms, ATF F 7560.8, Application to Transport Interstate or to Temporarily Export Certain National Firearms Act (NFA) Firearms, ATF F 10 (7560.10) Application for Registration of Firearms Acquired by Certain Governmental Entities, ATF F 4467, Registration of Certain Firearms during November 1968, or equivalent forms.

DESTROY when all administrative needs have ended.

178. File Search Request and Reply Forms - These are requests for searches, or replies to such requests, of the National Firearms Registration and Transfer Record.

DESTROY when 1 year old. or after disposition of case, whichever is earlier.

179. Exportation Records - These files contain copies of ATF F 9 (7560.9), Application and Permit for Exportation of Firearms, or equivalent form.

DESTROY when all administrative needs have ended.

180. Importation Records - These files consist of ATF F 6, Part I (7570.3A), Application and Permit for Importation of Firearms, Ammunition and Implements of War, ATF F 6, Part II (7570.3B), Application and Permit for Importation of Firearms, Ammunition and Implements of War (For Use by Members of the U.S. Armed Forces), ATF F 6A (7570.3C), Release and Receipt of Imported Firearms, Ammunition and Implements of War, ATF F 4522, International Import Certificate, ATF F 4587 (7570.4), Application to Register as an Importer of U.S. Munitions Import List Articles, ATF F 7570.6, Import Permit Register, ATF F 7570.8, Worksheet for Quarterly Report of Imported Firearms, ATF F 7570.9, Import Registrations Under the Arms Export Control Act, or equivalent forms.

- a. ATF F 6 Part I (7570.3A), ATF F 6 Part II (7570.3B), ATF F 6A (7570.3C), ATF F 4522, ATF F 7570.6, ATF F 7570.7, ATF F 7570.9.

DESTROY when 10 years old.

- b. ATF F 4587 (7570.4).

DESTROY 2 years after discontinuance of business.

- c. ATF F 7570.8.

DESTROY when 2 years old.

181. Firearms Control Card File - This file consists of control cards for the National Firearms Registration and Transfer Record.

DESTROY when all administrative needs have ended.

182. Firearms Subject and Ruling Files - These files contain documents which describe the administration and application of, and procedural instructions involved in, the entire firearms control program.

DESTROY when 15 years old.

183. Special Taxpayer Record Files - These files contain records pertaining to payment of tax by special (occupational) taxpayers who deal in NFA firearms, photocopy of the taxpayers FFL, IRS Form 11, Special Tax Return, and Application for Registry, and/or ATF F 7590.2, Form Letter-Acknowledging Receipt of Form 11 (Hqs use only), ATF F 7590.3, form Letter-Certifying Form 11 Has Been Filed (Hqs use only), or equivalent forms.

DESTROY when 15 years old.

184. Firearms Trace Request File - This file contains copies of ATF F 7520.5, Request for Tracing Firearms, or equivalent forms.

DESTROY when 1 year old.

185. Explosives Records File - This file contains ATF F 7530.1, Request for tracing Explosives, or equivalent form.

DESTROY when 5 years old.

186. Firearms Transaction Records - These are records on ATF F 4473 (5300.9) (Parts I and II) Firearms Transaction Record, used to record firearms sales by federally licensed firearms dealers, ledgers, and related records.

a. Paper copies.

DESTROY after microfilmed.

b. Microfilm copy.

DESTROY when all administrative and legal needs have ended.

187. Technical Services Correspondence Files - These files contain correspondence of a routine nature regarding the Federal Firearms Act, the National Firearms Act, the Gun Control Act of 1968, the Explosives Control Act of 1970, and related subjects.

DESTROY when 3 years old.

188. Quarterly Firearms Manufacturing and Exportation Files - These are copies of ATF F 4483A (5300.11), Quarterly Firearms Manufacturing and Exportation Report, which are used to report (quarterly) the quantity of firearms manufactured and exported by manufacturers of firearms licensed under the Gun Control Act of 1968.

DESTROY when 1 year old, or when all administrative needs have ended.

189 - 210 RESERVED.

OFFICE OF INTERNAL AFFAIRS

211. General subject files, including correspondence, reports, memorandums, and related papers, not covered elsewhere in this schedule, pertaining to the internal administration and management of the Office of Internal Affairs.

DESTROY when 5 years old.

212. Correspondence of a routine nature relative to operations review or security matters, such as letters of transmittal and requests for information, which are not appropriate for inclusion in the files listed elsewhere in this schedule.

DESTROY when 1 year old.

213. Reports of operations review and related correspondence.

DESTROY 10 years after issuance of report.

214. Workpapers prepared in connection with operations review.

DESTROY 2 years after issuance of report.

215. Files relating to reviews by GAO, and GAO reports.

DESTROY 5 years from date of reply to GAO.

216. Working papers prepared in audits, reviews, surveys, special studies, investigation, etc., of ATF or third parties.

DESTROY 2 years after report is issued.

217. Reference Files - Copies of Governmentwide, departmental and Bureau directives, publications, circulars, bulletins, orders, manuals, etc.

DESTROY when obsolete or superseded.

- 218 - 230. RESERVED.

OFFICE OF CHIEF COUNSEL RECORDS

231. Administrative files consisting of copies of directives; copies of reports including work progress, statistical, and narrative; copies of correspondence and other materials used for convenience of reference; and controls such as work flow and location controls. Reference files maintained by individuals or offices, including copies of ATF orders and other issuances, and papers which are of reference values to the staff.

DESTROY when obsolete or superseded.

232. Records of Chief Counsel's Opinions - These files consist of opinions of the Chief Counsel pertaining to laws and regulations administered by the Bureau, and other Federal laws and regulations relating to Bureau activities.

PERMANENT RECORDS.

OFFER to NARS when 30 years old.

233. Closed legal case files:

- (1) In considering and making reports on legislation and regulations pertaining to the laws administered by ATF.
- (2) Interpreting the laws and regulations administered by ATF.
- (3) In interpreting other Federal laws and regulations which have applicability to ATF operations.

DESTROY when no longer needed for reference purposes.

234. Closed litigation case files without precedential value:

- (1) Pertaining to suits brought under the Federal Tort Claims Act.
- (2) Pertaining to the judicial forfeiture of seized property, or judicial review of administrative forfeiture.
- (3) Pertaining to judicial review of suspension or revocation of licenses and permits issued by ATF.



- (4) Pertaining to miscellaneous tax, civil and criminal litigation.

DESTROY when 5 years old.

235. Closed civil litigation case files falling within the four categories listed in Item 235 which have particular precedential value.

DESTROY when no longer needed for reference purposes.

236. Closed legal files relating to administrative action on:

- (1) Petitions for remission or mitigation of forfeitures.
- (2) Offers in compromise submitted under the Internal Revenue Code and the Federal Alcohol Administration Act.
- (3) Claims submitted under the Federal Tort Claims Act.
- (4) Requests made under the Freedom of Information Act, or the Privacy Act.

DESTROY when 2 years old.

237. Closed legal files relating to administrative adjudications of licenses and permits.

DESTROY when 5 years old.

238. Closed legal case files relating to the review of ATF orders and directives, and ATF delegation orders.

DESTROY when obsolete or superseded.