

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-436-80-03

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/14/2023

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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

NC1-436-80-3 Item 2a is superseded by DAA-0564-2013-0003-0066

NC1-436-80-3 Item 2b is superseded by DAA-0564-2013-0003-0066

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

Rec'd 11-10-80

LEAVE BLANK	
JOB NO.	
NC1-436-80-3	
DATE RECEIVED	
June 12, 1980	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
10-28-80 <i>Date</i>	<i>Robert M. Was</i> <i>Archivist of the United States</i>

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

1. FROM (AGENCY OR ESTABLISHMENT)
Department of the Treasury

2. MAJOR SUBDIVISION
Bureau of Alcohol, Tobacco and Firearms

3. MINOR SUBDIVISION
Paperwork Management Branch

4. NAME OF PERSON WITH WHOM TO CONFER
Jack O'Leary

5. TEL. EXT.
566-7077

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 10 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
5-28-80	<i>Howard K. Hard</i>	Chief, Paperwork Mgt. Branch

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	The attached pages document several minor changes to the items annotated with a job number. Certain items have been deleted as they are covered by the General Records Schedules. Items that are not annotated are new items that have been added.		

Closed Out: 11-4-80: K.T.1) 44 items
Copy sent to All Federal Records Centers, Agency & NNF

CHAPTER C. RECORDS CONTROL SCHEDULE 201 - FIELD RECORDS.

GENERAL 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.

NC1-436-76-2
1.

* DESTROY when 3 years old or when superseded or obsolete, whichever is earlier. *

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 plans, problems and progress.

2.

- a. Record copies of recurring reports.

DESTROY when 3 years old.

- b. All other copies.

DESTROY when superseded or obsolete.

- * 3. Issuances from Bureau Headquarters - These are reference copies of issuances such as Treasury decisions, Bureau directives, industry circulars and other internal management documents.

3.

- a. Regional office reference set.

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

b. All other copies.

DESTROY when superseded or obsolete.

- * 4. Seized Property Case Files - These are records of property which has been seized for forfeiture, purchased as evidence, retained for evidence, or abandoned to ATF. *NCI-436-70-2*

6.
Forward to the appropriate district office for inclusion in the official case file upon final disposition of all property, unless regional counsel requires that the file be retained for further review.

5. Seized Property Control Records - These files contain copies of ATF F 1850.21, Record of Seized Vehicles, Vessels, and Aircraft, and/or ATF F 3400.14, Record of Other Seized Property.

DESTROY 5 years after final disposition of the property.

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

DESTROY 3 years after property is disposed of.

7. Quarterly Report - Forfeited Property Transferred to Bureau of Prisons - Regional office copies of ATF F 1850.30, or equivalent, the originals of which are sent to Bureau Headquarters. *43.*

DESTROY when 2 years old.

8. Quarterly Report - Firearms Retained, Transferred, or Destroyed - Regional office copies of ATF F 1850.20, or equivalent, the originals of which are sent to Bureau Headquarters. *44.*

DESTROY when 2 years old.

9. 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.

- GRS2
Item 3b

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: - GRS2
Item 8a

DESTROY at the end of the applicable pay period.

- (2) If the time and attendance card has not been initialed by the employee: - GRS2
Item 8b

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

10. Time and Attendance Logs - These are files of ATF F 2600.2, Flextime - Time and Attendance Logs, maintained in those Bureau offices where flextime has been authorized.

DESTROY when 6 months old.

11. U.I. files created by Criminal Enforcement in former regional offices - These are records containing reports of investigations, criminal case reports and exhibits, property records, fingerprint cards, electronic surveillance reports and related materials.

DESTROY when 20 years old.

12 - 25 RESERVED

CRIMINAL ENFORCEMENT DISTRICT OFFICE RECORDS

- * 26. Agent Cashier Fund and Informant Contracts - These are records relating to the expenditure of Government funds for investigative purposes including copies of confidential expense memos concerning expenses reimbursed on SF 1012. Also includes contracts entered into with informants (promising to pay them for information), copies of related vouchers, receipts and other information. Related information may be found in the following directives: ATF O 1925.1 Cashiers Imprest Fund (Investigative), ATF O 3210.7A, Investigative Priorities, Procedures and Techniques, and ATF O 1500.1A, Operating Travel.

NCI 436 78 2
26

DESTROY when 7 years old

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

27

DESTROY when 6 years old

28. District Office UI Files - These are records containing reports of investigation, reports recommending prosecution and related material described below. Related information may be found in ATF O 3270.10, Criminal Enforcement Investigative Reports. References to property taken into Bureau custody are discussed in ATF O 1850.3B, Property Taken Into Bureau Custody. ATF O 3210.7A, Investigative Priorities, Procedures and Techniques, outlines additional information on electronic surveillance reports.

28

- a. ATF F 3270.2 and 3270.3, Report of Investigation and Continuation Sheet.
- b. Criminal case report and exhibits.
- c. Property records; e.g., ATF F 3400.9, ATF F 1850.2, ATF F 1850.23, etc.
- d. Defendant fingerprint cards.
- e. ATF F 3279.6, Progress Record of Case.
- f. Electronic Surveillance reports.

(1) UI files closed prior to December 1, 1976.

DESTROY 3 years after case is closed.

(2) UI files closed on or after December 1, 1976.

TRANSFER to Federal records center 5 years after case is closed.

DESTROY 20 years after case is closed.

29. 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 3330.2, Raw Materials Contact and Recommendation, or equivalent, releases, and related correspondence. Related information may be found in the following directives: ATF O 3330.4, Alcohol Enforcement Program, and ATF O 5300.2A, Technical Services Procedures - Firearms and Explosives.

29

DESTROY 1 year after cancellation.

30. General Enforcement Correspondence - Correspondence with the public regarding alleged violations and other related matters. Related information may be found in the following directives: ATF O 1200.2A, Public Affairs Guidelines, ATF O 3000.1B, Criminal Enforcement General Information, and ATF O 3270.10, Criminal Enforcement Investigative Reports.

30

DESTROY 3 years after preparation.

- * 31. Progress, Plans, Problems Reports - These are reports of enforcement activities prepared on a monthly basis, outlining important accomplishments. Related information may be found in ATF O 1323.2A, Monthly Narrative Report (Plans, Problems, and Progress).

32

DESTROY when 1 year old.

32. Raw Materials Contact and Recommendation - These are records prepared by investigators on ATF F 3330.2, or equivalent, covering interviews with raw materials and container dealers. Related information may be found in ATF O 3330.4, Alcohol Enforcement Program.

36

DESTROY 1 year after discontinuance of business.

33. Request for Tracing Firearms and Explosives - These are requests and reports that do not result in a criminal case. Related information may be found in the following

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39

directives: ATF O 7500.1, Firearms Technology Branch Procedures, and ATF O 7530.1, Tracing of Explosives.

DESTROY when 1 year old.

34. Returns and Voluntary Reports of Articles, Containers, and Substances - These records include returns on ATF F 169, (3330.3), Return of Articles, Containers or Substances, or equivalent, submitted voluntarily or as a result of demand letters by importers, producers, distributors, and others. Related information may be found in ATF O 3330.4, Alcohol Enforcement Program.

DESTROY when 1 year old.

35. Treasury Enforcement Communications System Logs and Messages - These are incoming and outgoing messages transmitted via TECS. Related information may be found in ATF O 3520.1B, Treasury Enforcement Communications System.

DESTROY when 1 year old.

36. Statistical Reports - These are copies of CARS printouts maintained in district offices.

DESTROY when 1 year old.

- 37 - 70 RESERVED

CRIMINAL ENFORCEMENT POST OF DUTY OFFICE RECORDS

- * 71. Agent Cashier Fund and Informant Contracts - These are records relating to the expenditure of Government funds for investigative purposes. Additional information may be in the following directives: ATF O 1925.1, Cashiers Imprest Fund (Investigative), and ATF O 3210.7, Investigative Priorities, Procedures and Techniques. 71 *

DESTROY POD copy 1 year after close of investigation or reward payment.

72. Agents' Diaries - These are records maintained by special agents to record a breakdown of daily activities by time and date. 72

DESTROY when 6 years old.

73. Post of Duty UI Files - These are records concerning reports of investigation, reports recommending prosecution and other material described below. Related information may be found in ATF O 3210.7A, ATF O 3270.10, ATF O 1850.3B. 73

- a. ATF F 3270.2 and ATF F 3270.3.
- b. Criminal case report and exhibits.
- c. Property records; e.g., ATF F 3400.16, ATF F 3400.9, ATF F 1850.2, ATF F 1850.23, etc.

* DESTROY POD copy 5 years after case is closed.

- d. Investigative notes.
- e. Miscellaneous reports considered to be of value.

TRANSFER to the district office for inclusion in the district office file 5 years after case is closed. *

74. Demand Letters - These are copies of demand letters which are formal written demands on primary distributors, jobbers, warehousemen, manufacturers, wholesalers, importers, manufacturers of articles, and others. The records include copies of ATF F 3330.2, Raw Materials Contact and Recommendation, or equivalent, release, and related correspondence. Related information may be found in the following directives: ATF O 3330.4, Alcohol Enforcement Program, and ATF O 5300.2A, Technical Services Procedures - Firearms and Explosives.

DESTROY 1 year after cancellation.

74

75. Electronic Surveillance Reports and Recordings - 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 recordings.

DESTROY when 6 years old.

75

76. Raw Materials Contact and Recommendation - These are records prepared by special agents on ATF F 3330.2, or equivalent, covering interviews with raw materials and containers dealers.

DESTROY 1 year after discontinuance of business.

78

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

DESTROY when 1 year old.

80

78. Requests for Tracing Firearms and Explosives - These are requests and reports that do not result in a criminal case. Related information may be found in the following directives: ATF O 7500.1, Firearms Technology Branch Procedures, and ATF F 7530.1, Request for Tracing of Explosives.

DESTROY when 1 year old.

81

79. Returns and Voluntary Reports of Articles, Containers, and Substances - These records include returns on ATF F 169,

*
(3330.3) Return of Articles, Containers or Substances, or equivalent, submitted voluntarily or as a result of demand letters by importers, producers, distributors, and others. Related information may be found in ATF O 3330.4, Alcohol Enforcement Program.

DESTROY when 1 year old.

80. Statistical Reports - These are copies of CARS printouts received by the POD which contain statistical data on the production of that office.

83

DESTROY when 1 year old.

81. Treasury Enforcement Communications System Logs and Messages - These are incoming and outgoing messages transmitted via TECS. (Only for POD's that have TECS facilities.)

85

DESTROY when 1 year old.

82 - 110 RESERVED.

154. Still Wines Used in Manufacture of Vinegar - These records include bonds on ATF F 1676, and ATF F 703, or equivalent forms, covering wine received by vinegar plant proprietors from bonded wine cellars, and related applications, power of attorney (ATF F 1534), and correspondence.

a. Transaction forms.

DESTROY 3 years after completion of transaction.

b. All other records.

DESTROY 2 years after termination of bond, or when all outstanding liabilities under the bond have been satisfied, whichever is later.

155. Distinctive Container Records - These records relate to distinctive containers for distilled spirits. They contain drawings, illustrations or photographs of distinctive containers and have continuing reference value. Such records may also contain ATF F 4329. *NCI 436 7702*

* DESTROY. These records are no longer accumulating in field offices and should be destroyed. *155*

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156. Historical Permit File Index Card (Liquors and Tobacco) - These cards are historical copies of ATF F 5020.9 (formerly Form 1411), or equivalent, relating to all applicants and permittees, including a card record of each individual, partner, principal officer, or other person, as applicable, and of each trade name approved for a permittee or establishment. They have continuing reference value in the processing of applications and permits.

a. ATF F 5020.9 for trade name on notification that the name will no longer be used.

DESTROY 5 years after discontinuance of business or when no longer needed, whichever is later.

b. ATF F 5020.9 for deceased officers, directors, stockholders, partners, and sole owners.

DESTROY after information is received that the person is deceased or 5 years after discontinuance of business.

c. ATF F 5020.9 for SDA and tax-free.

DESTROY 5 years after discontinuance of business.