	REQUEST FOR RECORDS DISPOSITION AUTHORITY			BLANK (NARA	
(See Instructions on reverse)			JOB NUMBER	11-436-0	13-5
	TIONAL ARCHIVES and RECORDS ADM ASHINGTON, DC 20408	DATE RECEIVED 8/19/03			
	DM (Agency or establishment)	NOTIFI	CATION TO A	GENCY	
Bureau of Alcohol, Tobacco, Firearms and Explosives 2. MAJOR SUBDIVISION			In accordan U.S C. 3303	ice with the pro-	visions of 44
	fice of Strategic Intelligence and OR SUBDIVISION	d Information	including an for items tha	nendments, is app at may be marked I" or "withdrawn"	proved except "disposition
Inv	vestigative Systems Division ME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE A	RCHIVIST OF TH	E UNITED STATES
1	helle Thomas	202-927-5721	4-8-04	Hone	Cal
and to		the attached page retention periods spectovisions of Title 8 of the ttached; or TITLE	e(s) are not nov rified; and that	w needed for written concu il for Guidan uested.	the business arrence from
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PRO	POSED DISPOSITION	SUPE	GRS OR ERSEDED CITATION	10. ACTION TAKEN (NARA USE ONLY)
	ATF RCS 201, Item 29, The Nationa Information System (N-FOCIS). Se				
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	Cl Cerences.				

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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. $\underline{\text{N-Force/N-Quire System}}$. This is a case management system that contains a collection of investigative information to allow for dissemination, management and analyses of data.
- (1) $\underline{\text{Master Files}}$. 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 al(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) <u>Input Records</u>. These files consist of special agent notes, work plans, check sheets, information from confiscated articles, police reports, and related records.

Priviously approved.

investigative file and are scheduled under ATF RCS 201, item 44.

(3) <u>Output Records</u>. 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) <u>System Documentation</u>. 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) <u>Master File</u>. 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) <u>Input Records</u>. These records consist of work plans, work papers, check sheets, and related documents.

Previously approved.

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

(3) <u>Output Records</u>. 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) <u>System Documentation</u>. 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. <u>Electronic Mail and Word Processing System Copies</u>. 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 Su updated final wision for approval.

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. $\underline{\text{N-Force/N-Quire System}}$. 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. 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 al(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) <u>Input Records</u>. 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.

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. <u>N-Spect System</u>. 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) <u>Master File</u>. These records contain information received during the course of inspections.
 - (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). 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. TRANSFER 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.

(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. <u>Electronic Mail and Word Processing System Copies</u>. 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.

Job No. N1-436-03-5	Date Sent: 9/10/03	Date Received:	9/12/2003
Return to sender by: 9/17/0	23		\
Route to: Tom Brown, NW	ME, Room 5320, All		
1.			-
Return to: Tracee M. Taylo	or, NWML, Room 2100, All		
A.	peen sent to: NWMWA, NR, NW	WMD and NWCTC	
	omments on this job: See attache Case information System (N-FOC	_	ing to ATF's
C. NWML wishes ass	sistance in appraising these record	ds:	
FOR STAKEHOLDER USE C	Check the applicable options, and prov	ride the information requested	1
1. We waive informal re	eview Please send copy of	completed job.	
× 2. We wish to review ap	opraisal report. \nearrow Please send o	copy of completed job.	
3. We wish to participat	e directly in appraising the entire	e job or the following sch	edule items:
	SHU	J point of contact for app	raisal is:
	Pho	ne No	·
SHU comments:			
			-
Date Sent: 9/15/2000	SHU Signature	Lean EBre	
NWML Contact: TRACEE	M. TAYLOR Room	n No.: 2100, AII	
	Phone	e No.: (301) 837-3043	

Job No. N1-436-03-5	Date Sent: 9/10/03	Date Received:
Return to sender by: 9/17	//03	
Return to sender by.		
Route to: Judith Barnes, N	WMWA, Room 125, WNRC	
1		
Return to: Tracee M. Taylo	or, NWML, Room 2100, All	
A. This job has also b	een sent to: NR, NWME, NWMI	and NWCTC
	mments on this job: See attached sffice Case information System (N	schedule items pertaining to ATF's N-FOCIS).
C. NWML wishes ass	istance in appraising these records:	
FOR STAKEHOLDER USE	. Check the applicable options, and	d provide the information requested.
1 We waive informal rev	riew. Please send copy of com	nleted job
		-
2. We wish to review app	raisal report Please send copy	of completed job.
3. We wish to participate	directly in appraising the entire job	or the following schedule items:
	SHU poi	int of contact for appraisal is:
	Phone N	0
SHU comments:		
	<u> </u>	
Date Sent: 9/23/03	SHU Signature	Malnes
NWML Contact: TRACE	E M. TAYLOR Roo	om No.: 2100, AII
	Pho	ne No.: (301) 837-3043

Job No. N1-436-03-5	Date Sent: <u>9/10/03</u>	Date Received:
Return to sender by: 9/17	/03	
Soute to: Ann Cummings	, NWCTC, Room 2600, A	All
Return to: Tracee M. Tay	olor, NWML, Room 2100,	, All
A. This job has also	been sent to: NWMD, NWM	ME, NWMWA and NR
	omments on this job: See att ffice Case information Syste	tached schedule items pertaining to ATF's em (N-FOCIS).
C. NWML wishes a	ssistance in appraising these r	records:
FOR STAKEHOLDER US	E. Check the applicable opt	ions, and provide the information requested.
$m{X}$ 1. We waive informal r	eview Please send copy	y of completed job.
,	opraisal report Please se	
3. We wish to participa	e directly in appraising the en	ntire job or the following schedule items:
	· ·	SHU point of contact for appraisal is:
		Phone No
SHU comments:		
Date Sent: <u>9/22/03</u>	SHU Signature	Seg C (-) 4
NWML Contact: TRAC	EE M. TAYLOR	Room No.: 2100, AII
		Phone No.: (301) 837-3043

g to ATF's
requested.
1
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Job No. <u>N1-436-03-5</u>	Date Sent: <u>9/10/03</u>	Date Received:	
Return to sender by: 9/19/03	3		
Route to: David Weber/Jack	kie Fultz, NR, Room 3600,	, All	
I			
		`	
Return to: Tracee M. Taylor	, NWML, Room 2100, All		
A.	een sent to: NWMWA, NWC	TC, NWMD and NWME	
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 assi	stance in appraising these reco	ords:	
FOR STAKEHOLDER USE	. Check the applicable options	s, and provide the information requested.	
1. We waive informal rev	iew. X Please send copy of	completed job.	
2. We wish to review app	raisal report Please send	copy of completed job.	
3. We wish to participate	directly in appraising the entir	re job or the following schedule items:	
	SH	U point of contact for appraisal is:	
	Pho	one No.	
SHU comments:	^ A A I I A		
		ı	
	,		
Date Sent: 11 Sept 03	SHU Signature	elie My	
NWML Contact: TRACEE	M. TAYLOR R	Room No.: 2100, AII	
	P	hone No.: (301) 837-3043	