| REQUEST FOR RECORDS DISPOSIT | LEAVE | LEAVE BLANK (NARA use only) | | |
|--|----------------------------|-----------------------------------|---|-----------------------------|
| (See Instructions on reve | 1 | JOB NUMBER 11-43/-83-5 | | |
| TO NATIONAL ARCHIVES and RECORDS ADM | | N/-436-03-5. DATE RECEIVED / / | | |
| WASHINGTON, DC 20408 | IIIVISTICATION (IVIK) | | 8/1 | 9/03 |
| FROM (Agency or establishment) | | NOTI | FICATION TO A | GENCY |
| Bureau of Alcohol, Tobacco, Firearms 2. MAJOR SUBDIVISION | and Explosives | In accorda | ance with the pro- | visions of 44 |
| Office of Strategic Intelligence and | l Information | including a | 03a the dispositi | proved except |
| 3. MINOR SUBDIVISION | | not approv | hat may be marked ed" or "withdrawn" | alsposition in column 10 |
| Investigative Systems Division 4: NAME OF PERSON WITH WHOM TO CONFER | 5. TELEPHONE | DATE | ARCHIVIST OF TH | E UNITED STATES |
| Michelle Thomas | 202-927-5721 | 4-8-04 | Home W. | Cal |
| 6 AGENCY CERTIFICATION | | | | |
| I hereby certify that I am authorized to act for | this agency in matters p | ertaining to t | he disposition | of its records |
| and that the records proposed for disposal on of this agency or will not be needed after the | the attached page | e(s) are not no ified: and the | ow needed for | the business |
| I hereby certify that I am authorized to act for and that the records proposed for disposal on of this agency or will not be needed after the the General Accounting Office, under the pro- | ovisions of Title 8 of the | e GAO Manu | ial for Guidan | ce of Federal |
| Agencies, | | | _ • | |
| <u> </u> | | has been red | quested. | |
| DATE SIGNATURE OF AGENCY REPR | ESENTATIVE TITLE | | | - [|
| 8/14/03 Jackie Whi | te ATF | Records Of | ficer | |
| 7. ITEM 8. DESCRIPTION OF ITEM AND PRO | POSED DISPOSITION | | GRS OR ERSEDED | 10. ACTION TAKEN (NARA |
| NO. | | | CITATION | USE ONLY) |
| ATT DOG OCC | | | | |
| ATF RCS 201, Item 29, The Nationa Information System (N-FOCIS). Se | | | | |
| Intormacton System (N-rocts). Se | e accaeneu. | | | |
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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. 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 a1(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.

DISPOSITION. These records are filed in the 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) 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. 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) 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.

Bureau of Alcohol, Tobacco, Firearms and Explosives Office of Strategic Intelligence and Information Investigative Systems Division See applied final version 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. 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. 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: 9/12/2007 |
|-----------------------------|--|---|
| Return to sender by: 9/17/ | 03 | |
| Route to: Tom Brown, NV | VME, Room 5320, All | |
| 1. | | |
| Setura to: Transa M. Tayl | ar AllA/Mil Doom 2100 All | |
| Return to: Tracee ivi. Tayı | or, NWML, Room 2100, All | |
| A. This job has also | been sent to: NWMWA, NR, NV | VMD and NWCTC |
| | omments on this job: See attache Case information System (N-FO | ed schedule items pertaining to ATF's CIS). |
| C. NWML wishes as | ssistance in appraising these recor | ds: |
| FOR STAKEHOLDER USE | Check the applicable options, and prov | vide the information requested |
| 1. We waive informal r | review Please send copy of | completed job. |
| × 2. We wish to review a | ppraisal report. 🔀 Please send o | copy of completed job. |
| 3. We wish to participa | te directly in appraising the entire | e job or the following schedule items: |
| | SHU | U point of contact for appraisal is: |
| | Pho | ne No |
| SHU comments: | | |
| | | |
| | | |
| | | |
| Date Sent: 9/15/2000 | SHU Signature | Lear EBre |
| NWML Contact: TRACEI | E M. TAYLOR Room | n No.: 2100, AII |
| | Phon | ie No.: (301) 837-3043 |

| Job No. N1-436-03-5 | Date Sent: 9/10/03 | Date Received: |
|----------------------------|--|--|
| Return to sender by: 9/17 | /0.2 | |
| Return to sender by: 9/17 | | |
| Route to: Judith Barnes, N | WMWA, Room 125, WNRC | |
| 1 | | |
| | | |
| Return to: Tracee M. Taylo | or, NWML, Room 2100, All | |
| A. | een sent to: NR, NWME, NWM | D and NWCTC |
| - | mments on this job: See attached ffice Case information System (1) | schedule items pertaining to ATF's N-FOCIS). |
| C. NWML wishes ass | istance in appraising these records: | : |
| FOR STAKEHOLDER USE | . Check the applicable options, an | d provide the information requested. |
| 1 We waive informal rev | riew. Please send copy of com | unleted job |
| | | |
| 2. We wish to review app | raisal report Please send copy | y of completed job. |
| 3. We wish to participate | directly in appraising the entire job | or the following schedule items: |
| | SHU po | oint of contact for appraisal is: |
| | Phone N | No |
| SHU comments: | | |
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| | | · |
| Date Sent: 9/23/03 | SHU Signature | Malnes |
| NWML Contact: TRACE | E M. TAYLOR Ro | om No.: 2100, AII |
| | Ph | one No.: (301) 837-3043 |

| Job No. N1-436-03-5 | Date Sent: 9/10/03 | Date Received: |
|---------------------------|--|---|
| Return to sender by: 9/17 | 7/03 | |
| Pouts to Ann Cummings | NWCTC Poom 2600 AL | |
| Route to: Ann Cummings | , NWCTC, Room 2600, Al | · |
| 1 | | |
| | | |
| Return to: Tracee M. Tay | lor, NWML, Room 2100, A | All |
| A. | been sent to: NWMD , NWM I | E, NWMWA and NR |
| | comments on this job: See atta | sched schedule items pertaining to ATF's m (N-FOCIS). |
| C. NWML wishes a | ssistance in appraising these rec | cords: |
| FOR STAKEHOLDER US | SE. Check the applicable option | ons, and provide the information requested. |
| X 1. We waive informal r | review Please send copy of | of completed job. |
| 2. We wish to review a | ppraisal report. Please sen | d copy of completed job. |
| | | |
| 3. We wish to participa | te directly in appraising the ent | tire job or the following schedule items: |
| | Si | HU point of contact for appraisal is: |
| | P | hone No |
| SHU comments: | | |
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| | | |
| Date Sent: 9/22/03 | SHU Signature | le C-j. |
| NWML Contact: TRAC | EE M. TAYLOR | Room No.: 2100, AII |
| , | | Phone No.: (301) 837-3043 |

| D | 36-03-5 | Pate Sent: 9/10/03 | Date Received: | SEP 11 M |
|--------------------|---------------------|--|--|------------|
| : 9/17/03 | nder by: 9/17/03 | | | |
| chauble, NWN | nne Schauble, | ID, Room 2600, All | | |
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| l. Taylor, NWI | acee M. Taylor | ML, Room 2100, Al | | |
| as also been sent | is job has also bee | to: NWMWA, NW M | E, NR and NWCTC | |
| | | s on this job: See attack se information System | ed schedule items pertaining (N-FOCIS). | g to ATF's |
| ishes assistance i | VML wishes assis | in appraising these reco | ords: | |
| ER USE. Chec | CHOLDER USE. | k the applicable option | s, and provide the information | requested |
| | | | • | |
| ormal review | aive informal revi | Please send copy of | completed job. | |
| view appraisal re | sh to review appr | eport. Please send | copy of completed job. | |
| | | · — | e job or the following schedul | e items: |
| , , | , , | | U point of contact for appraisa | |
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| | | Pno | one No | <u> </u> |
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| 11/03 | 9/11/00 | SHU Signature | - Just | |
| RACEE M. T. | tact: TRACEE | 'AYLOR | oom No.: 2100, AII | |
| | | P | hone No.: (301) 837-3043 | |
| RACEE M. T. | tact: TRACEE | AYLOR | <u> </u> | |

| Job No. <u>N1-436-03-5</u> | Date Sent: 9/10/03 | Date Received: |
|----------------------------|------------------------------------|---|
| Return to sender by: 9/19/ | /03 | |
| Route to: David Weber/Ja | ckie Fultz, NR, Room 3600 | , All |
| 1 | | |
| | | ` |
| Return to: Tracee M. Taylo | or, NWML, Room 2100, Al | <u> </u> |
| A. This job has also be | been sent to: NWMWA, NWC | CTC, NWMD and NWME |
| | omments on this job: See attach | hed schedule items pertaining to ATF's (N-FOCIS). |
| C. NWML wishes as | ssistance in appraising these rec | ords: |
| FOR STAKEHOLDER US | E. Check the applicable option | ns, and provide the information requested. |
| 1. We waive informal re | eview. X Please send copy o | f completed job. |
| 2. We wish to review ap | opraisal report Please send | l copy of completed job. |
| 3. We wish to participat | te directly in appraising the enti | re job or the following schedule items: |
| | SF | HU point of contact for appraisal is: |
| | Ph | one No |
| SHU comments: | | |
| | Music | 1 |
| | | |
| | | |
| | | _ |
| Date Sent: 11 Sept 0 | 3 SHU Signature | rehit My |
| NWML Contact: TRACE | E M. TAYLOR | Room No.: 2100, AII |
| | Ţ. | Phone No.: (301) 837-3043 |