

PROJECT
ACH98-001

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**Office of Inspector General
Review of the Bureau of Alcohol, Tobacco & Firearms (BATF)'s
Firearms Registration Procedures
A-CH-98-001**

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Count	Volu.	Original W/P	ATF Analysis Group	ATF Ref. W/P	Point Cleared	Point	Notes
1	H	H116	B43	M1	Y	MD	
2	K	K2	G3	M2	N	MSD	trail unclear from card record
3	K	K4	G5	M3	Y	MSD	registration screen incorrect, history screen supported by cards
4	K	K5	G6	M4	Y	MSD	
5	K	K5	G7	M5	Y	MSD	
6	K	K5	G8	M6	N	MSD	gap between 1/3/78 & 3/13/80
7	K	K5	G10	M7	Y	MSD	
8	K	K5	G12	M8	Y	MSD	
9	K	K5	G15	M9	Y	MSD	
10	K	K5	G16	M10	Y	MSD	
11	K	K5	G17	M11	Y	MSD	
12	K	K5	G18	M12	Y	MSD	
13	K	K5	G21	M13	N	MSD	no record of transfer on 12/16/70; unreadable report copy provided
14	K	K5	G22	M14	Y	MSD	
15	K	K5	G23	M15	Y	MSD	
16	K	K5	G24	M16	Y	MSD	
17	K	K5	G26	M17	Y	MSD	
18	K	K5	G29	M18	N	MSD	gap between 8/9/79 & 11/30/83
19	K	K5	G32	M19	Y	MSD	
20	K	K5	G34	M20	Y	MSD	
21	K	K5	G36	M21	Y	MSD	
22	K	K5	G45	M22	Y	MSD	
23	K	K13	G49	M23	Y	MSD	
24	K	K17	G53	M24	Y	MSD	
1	K	K20	G56	M25	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
2	K	K37	H1	M26	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
3	K	K38	H2	M27	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
4	K	K39	H3	M28	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
5	K	K45	H9	M29	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
6	K	K47	H11	M30	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
7	K	K50	H14	M31	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
8	K	K54	H18	M32	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
9	K	K57	H21	M33	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
10	K	K58	H22	M34	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
11	K	K60	H24	M35	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
12	K	K61	H25	M36	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
13	K	K62	H26	M37	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
14	K	K63	H27	M38	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
15	K	K64	H28	M39	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
16	K	K73	H37	M40	Y	MSD	no documentation provided
17	K	K76	H40	M41	N	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
18	K	K79	H43	M42	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
19	K	K80	H44	M43	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
20	K	K86	H50	M44	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing
21	K	K88	H52	M44	Y	MSD	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing

Count	Volu.	Original W/P	ATF Analysis Group	ATF Ref. W/P	Point Cleared	Point Cleared	Point Cleared	Notes
22	K	K89	H53	M45	MSD	Y	ATF states that only the latest three registrations are in the data base, by design, hence these are not missing	
1	J	J44	B5	M46		Y	not OIG discrepancy	
2	J	J81	C46	M47	ISN	Y		
3	J	J110	D24	M48	ISN	Y	ATF did provide supporting documentation for "other transfers indicate S/N s/b [redacted] however inconsistent	
4	J	J110	D62	M49	MN	Y		
5	J	J110	D62	M49	ISN	Y	ATF has deemed (ATF practice) that the "/43" is not part of the S/N, rather it denotes the year of manufacture	
6	I	I67	F42	M50	ISN	Y		
1	J	None	C19	M51	MD	Y		
2	J	None	C25	M52	MD	Y		
3	J	None	C63	M53	MD	N	ATF did not provide "letter"; provided other transaction documentation not clearly supporting this event	
4	I	I16	E15	M54	MSD	Y		
5	K	K7	G14	M55	MSD	Y		
6	K	K9	G20	M56	MSD	Y		
7	K	K5	G35	M57	MSD	Y	inconsistent manufacturer for Simonov auto rifle	
8	K	K5	G37	M58	MSD	Y	inconsistent manufacturer for Simonov auto rifle	
9	K	K5	G38	M59	MSD	Y	inconsistent manufacturer for Simonov auto rifle	
10	K	K5	G39	M60	MSD	Y	inconsistent manufacturer for Simonov auto rifle; missing transferor name	
11	K	K5	G41	M61	MSD	Y	inconsistent manufacturer for Simonov auto rifle; missing transferor name	
12	K	K5	G42	M62	MSD	Y	inconsistent manufacturer for Simonov auto rifle; missing transferor name	
13	K	K5	G46	M63	MSD	N	documentation supports Form 1 not "letter"	
14	K	K5	G47	M64	MSD	Y		
15	K	K5	G48	M65	MSD	Y	manufacturer YL vs CL, ?	
16	K	K29	G66	M66	MSD	Y	documentation provided does not closely support registration period, 5/10/73 vs 6/2/79	
1	H	H11	A8	M67	MN	Y	computer documentation provided by ATF for audit lacked registrant name	
2	H	H25	A22	M68	IN	Y	documents provided do not offset computer data provided by ATF for audit	
3	H	H24	A23	M69	IN	Y	documents provided do not offset computer data provided by ATF for audit	
4	H	H34	A32	M70	MN	Y	computer documentation provided by ATF for audit lacked registrant name	
5	H	H36	A35	M71	ISN	Y	documents provided do not offset computer data provided by ATF for audit	
6	H	H37	A36	M72	MN	Y	computer documentation provided by ATF for audit lacked registrant name	
7	H	H53	A52	M73	MN	Y	computer documentation provided by ATF for audit lacked registrant name	
8	H	H54	A53	M74	MN	Y	computer documentation provided by ATF for audit lacked registrant name	
9	H	H67	A67	M75	None	no point	computer documentation provided by ATF for audit lacked registrant name	
10	J	J4	C2	M76	MN	Y	computer documentation provided by ATF for audit lacked registrant name	
11	J	J17	C15	M77	ISN	Y	computer documentation provided by ATF for audit presented incorrect serial number	
12	J	J19	C17	M78	MN	Y	computer documentation provided by ATF for audit presented incorrect serial number	
13	J	J19	C17	M78	ISN	Y	computer documentation provided by ATF for audit lacked registrant name	
14	J	J25	C24	M79	None	no point	computer documentation provided by ATF for audit presented incorrect serial number	
15	J	J27	C27	M80	None	no point	computer documentation provided by ATF for audit lacked registrant name	
16	J	J31	C33	M81	MN	Y	computer documentation provided by ATF for audit lacked registrant name	
17	J	J33	C35	M82	MN	Y	computer documentation provided by ATF for audit lacked registrant name	
18	J	J40	C42	M83	MN	Y	computer documentation provided by ATF for audit lacked registrant name	
19	J	J61	C65	M84	MN	Y	computer documentation provided by ATF for audit lacked registrant name	
20	J	J67	D1	M85	MN	Y	computer documentation provided by ATF for audit lacked registrant name	

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Count	Volu	Original W/P	ATF Analysis Group	ATF Ref. W/P	Point	Point	Point
21	J	J69	D6	M86	MN	Y	computer documentation provided by ATF for audit lacked registrant name
22	J	J70	D7	M87	MN	Y	computer documentation provided by ATF for audit lacked registrant name
23	J	J72	D12	M88	MN	Y	computer documentation provided by ATF for audit lacked registrant name
24	J	J73	D13	M89	MN	Y	computer documentation provided by ATF for audit lacked registrant name
25	J	J76	D17	M90	MN	Y	computer documentation provided by ATF for audit lacked registrant name
26	J	J82	D25	M91	MN	Y	computer documentation provided by ATF for audit lacked registrant name
27	J	J83	D26	M92	MN	Y	computer documentation provided by ATF for audit lacked registrant name
28	J	J84	D27	M93	MN	Y	computer documentation provided by ATF for audit lacked registrant name
29	J	J86	D32	M94	MN	Y	computer documentation provided by ATF for audit lacked registrant name
30	J	J87	D34	M95	MN	Y	computer documentation provided by ATF for audit lacked registrant name
31	J	J88	D35	M96	None	no point	
32	J	J92	D39	M97	MN	Y	computer documentation provided by ATF for audit lacked registrant name
33	J	J93	D40	M98	None	no point	
34	J	J87	D41	M99	MN	Y	computer documentation provided by ATF for audit lacked registrant name
35	J	J96	D44	M100	MN	Y	computer documentation provided by ATF for audit lacked registrant name
36	J	J97	D45	M101	MN	Y	computer documentation provided by ATF for audit lacked registrant name
37	J	J99	D48	M102	MN	Y	computer documentation provided by ATF for audit lacked registrant name
38	J	None	D49	M103	MN	Y	computer documentation provided by ATF for audit lacked registrant name
39	J	J100	D50	M104	MN	Y	computer documentation provided by ATF for audit lacked registrant name
40	J	J101	D51	M105	MN	Y	computer documentation provided by ATF for audit lacked registrant name
41	J	J105	D57	M106	ISN	Y	computer documentation provided by ATF for audit lacked registrant name
42	J	J106	D58	M107	MN	Y	computer documentation provided by ATF for audit lacked registrant name
43	J	J107	D59	M108	MN	Y	computer documentation provided by ATF for audit lacked registrant name
44	J	J109	D61	M109	MN	Y	computer documentation provided by ATF for audit lacked registrant name
45	J	J112	D66	M110	ISN	Y	computer documentation provided by ATF for audit presented incorrect serial number
46	J	J112	D66	M110	MN	Y	computer documentation provided by ATF for audit presented incorrect serial number
47	J	J113	D67	M111	ISN	Y	computer documentation provided by ATF for audit presented incorrect serial number
48	J	J113	D67	M111	MN	Y	computer documentation provided by ATF for audit presented incorrect serial number
49	I	I12	E11	M112	IN	N	documentation does not reflect ownership by [redacted] original Form 3 applicant
50	K	K73	H37	M113	MSD	Y	documentation submitted registered weapon with incorrect manufacturer code, FM vs FN

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OIG Analysis

Workpaper A

BACKGROUND:

From late 1984 through 1986, the National Firearms Act (NFA) Branch entered archived NFA registration and transfer records in a computer database, known as the National Firearms Registration and Transfer Record (NFRTR). The decision was made to enter only the latest three registration/transfers for any particular firearm. Any records prior to the latest three were not, and are still not, located in the database. This has resulted in the appearance that certain records are "missing" from the database, when in fact, the absence of certain records is by design.

PURPOSE:

To identify all original records sampled by the Treasury Office of Inspector General (OIG) for which a corresponding entry should not appear in the National Firearms Registration and Transfer Record (NFRTR) database due to the fact that the registration was prior to the latest three registrations at the point when the registration and transfer records were entered in the database in approximately 1985 or 1986.

SOURCES:

The NFRTR database, copies of original records sampled by the OIG, and microfilm records of registration documents.

PROCEDURE:

The source document (copy of original record) was compared to a microfilm copy of the serial number card, which shows each transfer until entry of the data in the computer database. The card was compared to a printout of the weapon history from the NFRTR database. The overlap of the weapon history between the card and the printout demonstrates the continuous registration of the weapon, and illustrates that the sampled document was not entered because it was prior to the latest three registration/transfers at the time of data entry.

CONCLUSION:

NFA Branch noted 24 instances in which a document examined by the OIG did not have a corresponding entry in the NFRTR due to the fact that, at the time of data entry in approximately 1985, it had been submitted prior to the latest three registrations/transfers for that particular firearm.

D11
D46
Title 1
Weapons
Not NFA
entered in manuscript

Analysis Ref.*	Control No.	Serial No.	Subject	Date of Transfer	Remarks
B43	197911557	[REDACTED]	[REDACTED]	681114	4467; Located by micro number
G3	[REDACTED]	[REDACTED]	[REDACTED]	691210	[REDACTED]
G5	[REDACTED]	[REDACTED]	[REDACTED]	700203	[REDACTED]
G6	[REDACTED]	[REDACTED]	[REDACTED]	701215	Name, SN match [REDACTED] first in sys after trans.(3)
G7	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G8	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G10	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G12	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G15	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G16	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G17	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G18	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G21	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G22	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G23	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G24	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G26	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G29	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G32	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G34	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G36	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G45	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G49	[REDACTED]	[REDACTED]	[REDACTED]	701215	[REDACTED]
G53	[REDACTED]	[REDACTED]	[REDACTED]	710303	[REDACTED]
				710826	[REDACTED]

* Refers to the OIG Auditors' analysis section (letter) and item number within that analysis

OIG Analysis

Workpaper B

PURPOSE:

To identify items in the OIG's sample which were not entered in the NFRTR as a matter of practice (e.g. purchase order from a police department to a supplier would not be entered in the NFRTR).

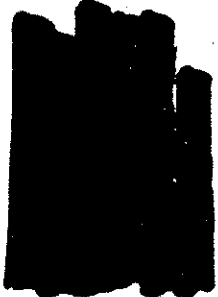
SOURCES:

The NFRTR database, copies of original records sampled by the OIG, and microfilm records of registration documents.

CONCLUSION:

NFA Branch determined that 21 of the forms examined by the OIG Auditors do not have corresponding entries in the NFRTR. This is due to the fact that the NFA Branch does not enter the types of information represented on the forms in the database.

Analysis Reference	Micro No.	Serial No.	Subject	Type of Document	Remarks
G56	0571127		[REDACTED]	Ltr(req. for copy)	No SN
H1	0571132		[REDACTED]	Purch. ord.	No SN
H2	0571153		[REDACTED]	Requisition form	No SN
H3	0571159		[REDACTED]	Purch. ord.	No SN
H9	057120X		[REDACTED]	Purch. ord.	No SN
H11	0571216		[REDACTED]	Purch. ord.	No SN
H14	0571220		[REDACTED]	Purch. ord.	No SN
H18	0571269		[REDACTED]	Purch. ord.	No SN
H21	0571306		[REDACTED]	Purch. ord.	No SN
H22	0571308		[REDACTED]	Ltr(purch. ord.)	No SN
H24	0571323		[REDACTED]	Ltr(purch. ord.)	No SN
H25	0571325		[REDACTED]	Ltr(purch. ord.)	No SN
H26	0571329		[REDACTED]	Purch. ord.	No SN
H27	0571334		[REDACTED]	Ltr(purch. ord.)	No SN
H28	0571336		[REDACTED]	Ltr(purch. ord.)	No SN

Analysis Reference	Micro No.	Serial No.	Subject	Type of Document	Remarks
H40	0571461			Purch. ord.	No SN
H43	?			Purch. ord.	No SN
H44	0571636			Purch. ord.	No SN
H50	0571721			Purch. ord.	No SN
H52	0571748			Purch. ord.	No SN
H53	057173(57)			Purch. ord.	No SN

OIG Analysis

Workpaper C

BACKGROUND:

Certain source documents examined by the OIG during their comparison to computer records contained errors when they were submitted. These errors were later corrected in the database, pursuant to either NFA Branch procedure, or to subsequent documentation from a registrant. Therefore, the database entry does not contain the perceived error.

PURPOSE:

To document instances in which the original document for a registration or transfer contained an error; and the information was later amended in the database pursuant to either notification from a registrant, or NFA Branch procedure or ruling.

SOURCES:

The NFRTR database, copies of original records sampled by the OIG, and microfilm records of registration documents.

CONCLUSION:

NFA Branch noted five instances in which the information in the database was correct, but the comparison to an original document, which contained an error, resulted in the perception that the database was in error.

Analysis Reference	Control No.	Serial No.	Subject	Type of Document	Remarks
B5	196852920	[REDACTED]	[REDACTED]	4467	"1 RS" on 4467; system shows corrected "IRS" Not IG ISSUE
C46	1971151	[REDACTED]	[REDACTED]	Ltr	System matches SN on card OK
D24	198667073	[REDACTED]	[REDACTED]	TWX	Other transfers indicate SN s/b [REDACTED] OK
D62	198660821	[REDACTED]	[REDACTED]	7560.8 (F9)	ATF has ruled that /43 denotes year; not part of SN
F42	199585074	[REDACTED]	[REDACTED]	F3	SN on micro is [REDACTED] ("0" is mill/eur. style); SN on F2 (att); [REDACTED] OK

OIG Analysis

Workpaper D

PURPOSE:

To document instances in which NFA Branch located computer entries or original documents which were not located by the OIG.

SOURCES:

The NFRTR database, copies of original records sampled by the OIG, and microfilm records of registration documents.

CONCLUSION:

The NFA Branch located 16 documents or entries which were not located by the OIG.

Analysis Reference	Control No.	Serial No.	Subject	Type of Document	Remarks
C19	19712961	[REDACTED]	[REDACTED]	Ltr	OK
C25	19701378	[REDACTED]	[REDACTED]	Ltr	OK
C63	1971640	[REDACTED]	[REDACTED]	Ltr	Not cleared - doc not provided
E15	198845899	[REDACTED]	[REDACTED]	Ltr/F3	SN on seal is [REDACTED] SN on receiver is [REDACTED] OK
G14	19701753	[REDACTED]	[REDACTED]	Ltr	OK
G20	19701463	[REDACTED]	[REDACTED]	Ltr	OK
G35	19701515	[REDACTED]	[REDACTED]	Ltr	OK
G37	1970851	[REDACTED]	[REDACTED]	Ltr	OK
G38	1970849	[REDACTED]	[REDACTED]	Ltr	OK
G39	1970647	[REDACTED]	[REDACTED]	Ltr	OK
G41	1970431	[REDACTED]	[REDACTED]	Ltr	OK
G42	1970112	[REDACTED]	[REDACTED]	Ltr	OK
G46	19701200	[REDACTED]	[REDACTED]	Ltr	Cross ref from HT180 to HR180 OK manu INR, SX, MZZ
G47	19701107	[REDACTED]	[REDACTED]	F1(Ltr?)	Not cleared Form 1 vs LTR
G48	1970346	[REDACTED]	[REDACTED]	Ltr	OK
G66	19731954	[REDACTED]	[REDACTED]	Ltr	OK, but manu YL vs CL? does do not directly support this letter

OIG Analysis

Workpaper E

PURPOSE:

To document instances in which the OIG noted a discrepancy between the original document and the database, and in which the NFA Branch did not observe the discrepancy.

SOURCES:

The NFRTR database, copies of original records sampled by the OIG, and microfilm records of registration documents.

CONCLUSION:

NFA Branch has noted 47 instances in which the discrepancy between the database records and the original documents was not observed during our examination of the documents.

Analysis Reference	Control No.	Serial No.	Subject	Type of Document	Remarks
A8	196821094	[REDACTED]	[REDACTED]	4467	Noted as "name missing," name present on system ^{100, MA} OIG, ^{not cleared} did not observe
A22	196830180	[REDACTED]	[REDACTED]	4467	Name, SN match ^{not cleared}
A23	196816730	[REDACTED]	[REDACTED]	4467	Name, SN match ^{not cleared}
A32	196824149	[REDACTED]	[REDACTED]	4467	Name, SN match ^{not cleared}
A35	196811132	[REDACTED]	[REDACTED]	4467	Name, SN match ^{not cleared}
A36	196839380	[REDACTED]	[REDACTED]	4467	Name, SN match ^{not cleared}
A52	196818003	[REDACTED]	[REDACTED]	4467	Name, SN match ^{not cleared}
A53	1968771	[REDACTED]	[REDACTED]	4467	Name, SN match ^{not cleared}
A67	19701854	[REDACTED]	[REDACTED]	4467	Name, SN match ^{not cleared}
C2	197098	[REDACTED]	[REDACTED]	LTR	Name, SN match ^{not cleared}
C15	19713225	[REDACTED]	[REDACTED]	LTR	Name, SN match ^{not cleared}
C17	198751866	[REDACTED]	[REDACTED]	LTR	Name, SN match ^{not cleared}
C24	19889098	[REDACTED]	[REDACTED]	F3	Name, SN match; 3 firearms ref. on ltr, incl. ^{not cleared}
C27	19865420	[REDACTED]	[REDACTED]	LTR	Name, SN match ^{not cleared}
C33	1989141673	[REDACTED]	[REDACTED]	LTR	Name, SN match ^{not cleared}
C35	198755510	[REDACTED]	[REDACTED]	LTR	Name, SN match ^{not cleared}
C42	19701826	[REDACTED]	[REDACTED]	LTR	Name, SN match ^{not cleared}
C65	19711588	[REDACTED]	[REDACTED]	LTR	Name, SN match ^{not cleared}

