Request for Records Disposition Authority

Records Schedule Number

DAA-0564-2013-0004

Schedule Status

Approved

Agency or Establishment

Alcohol and Tobacco Tax and Trade Bureau

Record Group / Scheduling Group

Records of the Alcohol and Tobacco Tax and Trade Bureau

Records Schedule applies to

Major Subdivsion

Major Subdivision

Alcohol and Tobacco Tax and Trade Bureau

Minor Subdivision

Office of Chief Counsel

Schedule Subject

Chief Counsel Program Records

Internal agency concurrences will

No

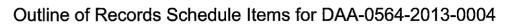
be provided

Background Information

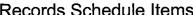
Item Count

Number of Total Disposition Items	Number of Permanent	Number of Temporary	Number of Withdrawn
	Disposition Items	Disposition Items	Disposition Items
7	1	6	0

GAO Approval



Sequence Number	· ·
1	General Legal Correspondence Disposition Authority Number: DAA-0564-2013-0004-0001
2	Review of Public Rulings Disposition Authority Number: DAA-0564-2013-0004-0002
3	Chief Counsel Memoranda and Opinions Disposition Authority Number: DAA-0564-2013-0004-0003
4	Legal Matters/Litigation Files Disposition Authority Number: DAA-0564-2013-0004-0004
5	Legislative Files Disposition Authority Number: DAA-0564-2013-0004-0005
6	Financial Transaction Files Disposition Authority Number: DAA-0564-2013-0004-0006
7	Ethics Records Disposition Authority Number: DAA-0564-2013-0004-0008



Records Sche	dule Items		
Sequence Number			
1	General Legal Corresponder	nce	
	Disposition Authority Number	DAA-0564-2013-0004-0001	
	These files include general legal correspondence not pertaining to precedential issues. These files include, but are not limited to, copies of incoming and outgoing correspondence and related supporting and background materials. They may also include chronological files and facsimile transmissions.		
	Final Disposition	Temporary	
	Item Status	Active	
	Is this item media neutral?	Yes	
	Do any of the records covered by this item currently exist in electronic format(s) other than e- mail and word processing?	No	
	Disposition Instruction		
	Cutoff Instruction	Cutoff files at the end of the fiscal year (FY).	
	Retention Period	Destroy 7 year(s) after cutoff.	
	Additional Information	•	
	GAO Approval	Not Required	
2	Review of Public Rulings		
	Disposition Authority Number	DAA-0564-2013-0004-0002	
	These files consist of memoranda reviewing legal sufficiency and draft versions of formal TTB rulings and procedures that are issued to the public in accordance with 27 C.F.R. § 70.701(d)(2).		
	Final Disposition	Temporary	
,	Item Status	Active	
	Is this item media neutral?	Yes	
	Do any of the records covered by this item currently exist in electronic format(s) other than e- mail and word processing?	No	
	Disposition Instruction		

Cutoff files at the end of the FY.

Cutoff Instruction

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Retention Period

Destroy 7 year(s) after cutoff.

Additional Information

GAO Approval

Not Required

Chief Counsel Memoranda and Opinions

Disposition Authority Number

DAA-0564-2013-0004-0003

These files consist of interpretative memoranda and opinions addressed to Treasury officials.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than email and word processing? No

Disposition Instruction

Cutoff Instruction

Cutoff files at the end of the FY in which the file is

superseded or obsolete, whicever is sooner.

Retention Period

Destroy 7 year(s) after cutoff.

Additional Information

GAO Approval

Not Required

Legal Matters/Litigation Files

Disposition Authority Number

DAA-0564-2013-0004-0004

These files consist of but not, limited to significant precedential legal opinions, analyses, conclusions, advice or interpretations, policy-making decisions, documentation of major activities of the Office of the Chief Counsel or Office of the General Counsel. Includes records relating to matters that result in court decisions that significantly interpret statutes and regulations, matters that are heard by the appellate courts or the Supreme Court, matters that are deemed to be significant for investigative or litigation procedures or other important precedent, matters that attract national news media attention, matters resulting in Congressional investigation.

Final Disposition

Permanent

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in

No

electronic format(s) other than email and word processing?

GRS or Superseded Authority

Citation

NC1-436-80-2, Item 232

Disposition Instruction

If this item has multiple sections, indicate here records to which

this section apply **Cutoff Instruction**

Non-electronic Textual Records

Cutoff files at the end of the FY in which the legal

work product is completed.

Transfer to Inactive Storage Transfer paper records to Federal Records Center 5

years after cutoff.

Transfer to the National Archives

for Accessioning

Transfer to NARA for Accessioning: Transfer paper records to the National Archives in 5 year blocks 15

years after cutoff.

Additional Information

First year of records accumulation 2003

What will be the date span of the

initial transfer of records to the

National Archives?

From 2003 To 2007

How frequently will your agency

transfer these records to the

National Archives?

Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	25 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply

Electronic Records

Cutoff Instruction

Cutoff files at the end of the FY in which the legal

work product is completed.

Transfer to the National Archives

for Accessioning

Transfer to the National Archives in 5 year blocks 15

year(s) after cutoff.

Additional Information

What will be the date span of the

initial transfer of records to the

National Archives?

Unknown

Records are currently in paper format.

How frequently will your agency transfer these records to the

National Archives?

Every 5 Years

5 Legislative Files

Disposition Authority Number

DAA-0564-2013-0004-0005

These files consist of Legislation, testimony, and reports mandated by Congress within the purview of the Department or TTB or drafted within the Department or TTB, legislation, testimony, and Congressionally mandated reports referred to the Department for comment, opinions, interpretations and advice on matters related to legislation as presented or intended for presentation to Congress (e.g., copies of draft bills, reports, analyses, and correspondence with sponsors and other interested Departments or parties and related indexes).

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than email and word processing?

No

Disposition Instruction

Cutoff Instruction

Cutoff files at the end of each Congress.

Retention Period

Destroy 20 year(s) after cutoff.

Additional Information

GAO Approval

Not Required

Financial Transaction Files

Disposition Authority Number

DAA-0564-2013-0004-0006

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These files consist of financial transactions involving TTB, such as promissory notes, agreements, leases, assignments, and supporting certificates and opinions of counsel.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than email and word processing?

No

Disposition Instruction

Cutoff Instruction

Cutoff files at the end fo the FY in which the legal

work is completed.

Retention Period

Destroy 7 years after cutoff or when no longer needed for administrative purposes, whichever is

later.

Additional Information

GAO Approval

Not Required

Ethics Records

Disposition Authority Number

DAA-0564-2013-0004-0008

These files consist of memoranda, letters/correspondence and electronic messages concerning the Hatch Act, the Whistleblower Protection Act, procurement integrity and other areas often associated with, but not expressly under the authority of the Executive Branch Ethics Program.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than email and word processing? No

Disposition Instruction

Cutoff Instruction

Cutoff files at the end of the fiscal year in which action was issued or undertaken or is no longer in

effect, whichever is later.

Retention Period

Destroy 7 year(s) after cutoff.







I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	Ву	Title	Organization
05/24/2013	Certify	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
06/13/2013	Return for Revision	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
06/14/2013	Submit For Certific ation	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
06/14/2013	Certify	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
08/08/2013	Return for Revisio n	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
09/03/2013	Submit For Certific ation	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
09/03/2013	Certify	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
09/10/2014	Submit for Concur rence	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
09/11/2014	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - Records Management Services

09/11/2014	Concur	Laurence Brewer	'	National Archives and Records Administration - National Records Management Program
09/16/2014	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist