

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

**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 & Firearms

3. MINOR SUBDIVISION

Information Management Division

4. NAME OF PERSON WITH WHOM TO CONFER

Jack O'Leary

5. TEL EXT

566-7927

6. CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK	
DATE RECEIVED 02 FEB 1977	JOB NO
NC 1 486 77	02
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 "with-drawn" in column 10	
2-23-77 (Date)	<i>James B. Rhoads</i> Archivist of the United States

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 39 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

2-1-77
Date

Geraldine M. Jones
(Signature of Agency Representative)

Acting Chief,
Information Mgmt. Division
(Title)

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>The records listed below are accumulated and filed in the field offices of the Bureau of Alcohol, Tobacco and Firearms. They are maintained in:</p> <ul style="list-style-type: none"> A. regional offices (items 111-208) B. area offices (items 215-226) C. plant offices (items 232-251) D. field laboratories (items 264-275) 		

sent to agency, all FRC's and NCW-3/29/77

CHAPTER D. RECORDS CONTROL SCHEDULE 201 - FIELD RECORDS

REGULATORY ENFORCEMENT REGIONAL OFFICE RECORDS

(Note: Where any of the records covered by items 111 through ~~208-209~~ are maintained in an area office in lieu of a regional office, the same disposition authorization will apply.)

Item. No. Description of Records & Disposition Authorization

NN 164-168
18

111. Federal Alcohol Administration Basic Permit Files - These files relate to establishments for which permits under the Federal Alcohol Administration Act are required. Each file includes the original application and permit, amendments thereto, powers of attorney for individual proprietorships, reports of original inspection (including reports of investigation of character and fitness), copy of notice of contemplated disapproval or denial of a permit application, copy of recommended decision Administrative Law Judge, copy of final order, and related papers.

a. Files relating to permits issued to distilled spirits plants having production facilities.

DESTROY 15 years after discontinuance of business.

b. Files relating to all disapproved applications and to all permits (other than those covered by a. above) which have been revoked.

DESTROY 5 years after application is disapproved or permit is revoked, as applicable.

c. Permits surrendered with prejudice.

DESTROY ^{when} ~~after~~ 5 years *old*.

d. Permits surrendered without prejudice

DESTROY immediately.

e. Documents contained in the active files which have been superseded.

DESTROY 15 years from the date of supersedence.

f. Files relating to all other permits, except permits covered in item 127.

DESTROY 4 years after discontinuance of business.

Forms that may be contained in these files: ATF F 1430A, 1430C, 1534, 5170.2 (formerly 1631), 1633, 1635, 1636, 1637, ATF F 5110.10 (formerly 1640), 1643, 2625, 5000.3, (formerly 2631), 5020.3 (formerly FBI 78), 5020.13, 5030.1 (formerly 81), 5030.6, 5100.1, 5170.4 (formerly 1632).

112. Notice and Application Files - These files relate to distilled spirits plants, breweries, bonded wine cellars, tobacco products factories, tobacco export warehouses, etc. They contain applications and notices (including amendments) to engage in business and, as applicable, ATF F 1609, ATF F 110, ATF F 4329, statements of process (other than on ATF F 27-B Supplemental, and ATF F 698 Supplemental), and copies of leases. Where no FAA permit is required, they also contain reports of original inspection and papers as described in item 111.

a. Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and have production facilities.

DESTROY 15 years after discontinuance of business.

b. Files relating to all other premises, except those covered in item 127.

DESTROY 4 years after discontinuance of business.

c. Those documents contained in the active files which have been superseded.

DESTROY 15 years from the date of supersedence.

Forms that may be contained in these files: 27C, 27F, 27G, 27G Supplemental, 110, 698, 1534, 1609, 2607, 2975, 3019, 4329, 5020.3, 5020.13, 5020.20 (formerly 330), 5020.21, 5020.25, 5020.28, 5020.29, 5030.1 (formerly 81).

113. Internal Revenue Code Permit Files - These files relate to operating, tobacco, industrial use, and withdrawal permits issued under chapters 51 and 52 of title 26 of the United States Code. They contain copies of the permits, applications, and related papers, including documents and papers covered in items 111 or 112 where an FAA permit is not required.

a. Files relating to distilled spirits plants having production facilities.

DESTROY 15 years after discontinuance of business.

- b. Files relating to all disapproved applications and to all permits (other than those covered by a. above) which have been revoked.

DESTROY 5 years after application is disapproved or permit revoked, as applicable.

- c. Files relating to withdrawal permits, except where permit has been revoked.

DESTROY 2 years after expiration of latest permit in file.

- d. Permits surrendered with prejudice.

DESTROY ~~after~~ ^{when} 5 years ~~old~~.

- e. Permits surrendered without prejudice.

DESTROY immediately.

- f. Those documents contained in the active files which have been superseded.

DESTROY 15 years from the date of supersedence.

- g. All others, except permits described in Item 127.

DESTROY 4 years after discontinuance of business.

Forms that may be contained in these files: 93, 1430A, 1430C, 5150.9 (formerly 1447), 1450, 1474, 1476, 1477, 1479, 1481, 1485, 1534, 5200.3 (formerly 2093), 2098, 2600, 2603, 2604, 2625, 4326, 4327, 5000.3 (formerly 2631), 5020.3 (formerly FBI 78), 5020.13, 5030.1 (formerly 81), 5030.6, 5100.1.

114. Corporate Documents Files - These files relate to liquors and tobacco. They contain corporate documents (or articles of partnership or association) and related documents, including ATF F 1534, Power of Attorney (for other than individual proprietorships), ATF F 5100.1 and related papers.

- a. Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and have production facilities.

DESTROY 15 years after discontinuance of business.

- b. Those documents contained in the active files which have been superseded.

DESTROY 15 years after supersedence.

- c. All others, except those covered by item 127.

DESTROY 4 years after discontinuance of business.

- 115. Plats and Plans Files - These files relate to distilled spirits plants, breweries, bonded wine cellars, etc. They contain original, additional, and amended plats and plans, including flow sheets, and related papers.

- a. Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and have production facilities.

DESTROY after receipt of approved superseding plats or plans or 15 years after discontinuance of business, *whichever is later.*

- b. All others, except those covered by item 127.

DESTROY after receipt of approved superseding plats or plans, or 5 years after discontinuance of business, *whichever is later.*

- 116. Bonds and Consents Files - These files relate to liquors and tobacco and contain all bonds (including consents in respect of liens, and consents or extensions in respect of bonds) required to be filed in connection with the particular establishment, termination of bonds, and related papers, including powers of attorney.

- a. Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and have production facilities.

DESTROY 15 years after discontinuance of business or after all outstanding liabilities have been satisfied, or after elimination of the requirements for the bond, whichever is later.

- b. All others, except those covered by item 127 of this schedule.

DESTROY 5 years after discontinuance of business, or after elimination of requirement for bond, or after all outstanding liabilities have been satisfied, whichever is later.

*NN 166-154
19*

Forms that may be contained in these files: 3-A, 700, 1448, 1475, 1480, 1490, 1533, 1566, 1566A, 1602, 1617, 1694, 1800.1 (formerly 33), 2053, 2102, 2103, 2105, 2490, 2601, 2602, 2613, 2614, 2615, 3070, 3872, 4737.

117. Prejudice Information Case Files - These files relate to liquors and tobacco. They contain copies of correspondence relating to final action taken on violations (including cases referred to Criminal Enforcement for criminal prosecution), copies of citations issued to show cause why a permit should not be suspended or revoked, Administrative Law Judge's decisions, orders of revocation, suspension, or annulments, offers in compromise (including briefs and correspondence), copies of letters of reprimand, copies of notices of delinquent reports and reports of violations, and any related matters or documents.

a. FAA prejudice files.

DESTROY 5 years after discontinuance of business.

b. IRC prejudice permit files.

DESTROY 5 years after discontinuance of business.

Forms that may be contained in these files: 433, 5640.1 (formerly 656), 5640.2 (formerly 656D), 5640.3 (formerly 7249K, L & N), 1430A, 1430B, 1644, 1645, 5020.3 (formerly 78), 5020.13, 5030.1 (formerly 81), 5030.3 (formerly 1559), 5030.5 (formerly 4729, 4799), 5600.3 (formerly 1666).

- NN164-168*
21
118. Inspection Reports Files - These files relate to liquor and tobacco businesses. They include all regulatory enforcement inspection reports, EXCEPT those relating exclusively to claims, assessments, or original inspections, and inspections of character and fitness of applicants, and personnel of qualified permittees and proprietors, and inspections relating to retail liquor dealers.

DESTROY 4 years after discontinuance of business.

Forms that may be contained in these files: 5000.1 (formerly 2311), 5000.2 (formerly 2311A), 5030.1 (formerly 81), 5030.3 (formerly 1559), 5120.1, 5120.8, 5150.3, 5200.2, 5600.3 (formerly 1666).

119. Brewers' Meter Files - These files contain all pertinent data on brewery meters, including brewers' reports of meter acquisitions, copies of brewers' reports of meter tests, ATF F 138, and brewers' letterhead applications for approval of testing procedures.

DESTROY when no longer needed for control or informational purposes, *or when 4 years old, whichever is earlier.*

120. Operating Documents Files - These files contain copies of operating documents, including applications and permissions to conduct certain operations; notices of change in status of plants; approved and disapproved applications for samples of distilled spirits; copies of still registries; and related notices, agreements, correspondence and other papers. (Note: See item 178 for disposition of extra copies of disapproved applications for changes in construction, use, or equipment.)

- a. Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and have production facilities.

DESTROY 15 years after discontinuance of business.

- b. ATF F 2610 relative to change in status of plant.

DESTROY 1 year after the change of status specified in the notice or application on ATF F 2610 is changed by a superseding new notice or application on ATF F 2610.

- c. Those documents contained in the active files which have been superseded.

DESTROY 15 years from the date of supersedence.

- d. All others, except those covered by item 127 of this schedule.

DESTROY 4 years after discontinuance of business.

Forms that may be contained in these files: 26, 110, 1512, 2610, 2622, 5520.1 (formerly 3873), 4624.

121. *NN164-168*
22 Assessment Files (Liquors and Tobacco) - These files include all notices to taxpayers of losses or shortages subject to taxpayment and all notices of proposed assessments, affidavits, correspondence, related papers, and the following forms or equivalent forms: ATF F 1585; and related reports of inspection; copies of documents in support of the assessment (including ATF F 2626, ATF F 5020.26 (formerly 2627) and ATF F 5020.22 (formerly 2623)).

DESTROY 6 years from the date of last assessment in the file, except control copies of part 5 of Form TY-26 or ATF F 5020.22

(formerly 2623), which are destroyed on receipt of the record copy from the Internal Revenue Service Center.

Forms that may be contained in these files: 318, 1585, 1673, 2626, 5020.22 (formerly 2623), 5020.26 (formerly 2627), 5020.40 (formerly 2626), 5030.1 (formerly 81), 5600.1 (formerly 154), TY26 and IRS 2644, 2645, and 2859.

122. Formulas and Processes Files - These files relate to specially denatured spirits, rectified spirits, and wines. They contain formulas and processes (ATF F 27-B Supplemental, ATF F 698 Supplemental, and ATF F 1479-A, or equivalent forms) and related correspondence and memorandums.

DESTROY 3 years after discontinuance of business.

123. Permit Correspondence Files (Liquors and Tobacco) - These files contain correspondence pertaining to permit matters of liquor and tobacco businesses.

DESTROY 3 years after discontinuance of business.

124. Audit Correspondence Files (Liquors and Tobacco) - These files contain correspondence pertaining to the audit of reports and returns.

DESTROY ~~after~~ ^{when} 3 years *old*.

125. Samples for Testing - These files relate to samples taken for testing. They contain ATF F 5030.4 (formerly 1669), or equivalent; chemists' reports thereon, ATF F 1537 and ATF F 5530.1, or equivalent; and related papers. (Note: This material may be filed in other basic files. If so, the retention period will be that of the applicable file.)

Destroy when 3 years old.

126. Unsubdivided Basic Files - These files relate to liquors and tobacco and cover premises (other than distilled spirits plants, breweries, and wineries, and permittee premises covered in item 127) for which subdivided files were not warranted. They contain, as applicable, all material covered by items 111 through 125.

- a. FAA basic files and IRC files relating to applications and notices which have been approved, and for permits which have been issued (other than permits covered by b. below).

DESTROY 4 years after discontinuance of business or 4 years after elimination of requirement for the basic files, as applicable, or when all outstanding liabilities are accounted for, whichever is later.

- b. Basic files relating to disapproved applications and notices or to permits which have been revoked.

DESTROY 5 years after application is disapproved or permit is revoked, as applicable.

- c. Permits surrendered with prejudice.

DESTROY ^{upon} ~~after~~ 5 years *old*.

- d. Permits surrendered without prejudice.

DESTROY immediately.

- e. Control copies of part 5 of Form TY-26, ATF F 5020.22 (formerly 2623), or equivalent.

DESTROY on receipt of record copy from the Internal Revenue Service Center.

Forms that may be contained in these files: 26, 27F, 27G, 27G Supplemental, 93, 110, 433, 5640.1 (formerly 656), 5640.2 (formerly 656-D), 1430A, 1430B, 5150.9 (formerly 1447), 1448, 1450, 1474, 1475, 1476, 1477, 1479, 1479A, 1480, 1481, 1485, 1486, 1490, 1512, 1533, 1534, 1609, 5170.2 (formerly 1631), 1633, 1643, 1694, 1800.1 (formerly 33), 5200.3 (formerly 2093), 2098, 2102, 2103, 2105, 2600, 2622, 2625, 2975, 3070, 3872, 4326, 4327, 4624, 5000.3 (formerly 2631), 5020.3 (formerly 78), 5020.13, 5020.22 (formerly 2623), 5030.3 (formerly 1559), 5030.4 (formerly 1669), 5030.6, 5100.1, 5170.4 (formerly 1632), 5640.3 (formerly 7249K,L,N), IRS Forms 2644, 2645, 2096.

127. Basic Files of Establishments Requalified as of July 1, 1959, or Like Establishments Discontinued Prior to Such Date - These files relate specifically to distilleries, warehouses, etc., required to requalify as distilled spirits plants as of July 1, 1959; to bonded dealers, users of specially denatured spirits, and users of tax free alcohol required to requalify as of July 1, 1959; and to like establishments or permittees who discontinued business prior to such date. The file includes inactive notices.

VC-56-75-3

- a. Distilleries, except notices covered in c. following.

DESTROY 15 years after requalification, or 15 years after discontinuance of business, whichever is earlier, provided all outstanding liabilities have been accounted for.

- b. All establishments and permittees other than distilleries.

DESTROY 5 years after requalification, or 5 years after discontinuance of business, whichever is earlier, provided all outstanding liabilities have been accounted for. Purge files of all bonds and any records accumulated since July 1, 1959, and DESTROY such records and bonds in accordance with items 111 through 116, 120, or 126 as applicable.

- c. Inactive notices of distilleries.

DESTROY 15 years after superseding notice was filed.

Forms that may be contained in these files: 26, 110, 5640.1 (formerly 656), 5640.2 (formerly 656D), 5150.9 (formerly 1447), 1448, 1450, 1474, 1475, 1476, 1477, 1479, 1479A, 1479B, 1479C, 1480, 1481, 1485, 1490, 1533, 1534, 1602, 1609, 1617, 1800.1 (formerly 33), 5640.3 (formerly 7949K), 7249L, 7249N.

128. Operating Reports (Liquors) Other than Wholesalers' and Importers' Reports, and Stamp Reports - These records include monthly, semiannual, and annual reports of operations.

26
26
DESTROY ^{when} ~~after~~ 5 years *old*.

Forms that may be contained in these files: 5130.9 (formerly 103), 332, 5120.17 (formerly 702), 702C, 1451, 1482, 1623, 5520.2 (formerly 1695), 2546, 2730, 5110.11 (formerly 2731), 2732, 2733, 5020.19 (formerly 334).

129. Wholesale Liquor Dealer and Importer Reports - These records include reports of wholesale liquor dealers and importers, on ATF F 338, 52-A, and 52-B, or equivalent forms.

27
27
DESTROY ^{when} ~~after~~ 4 years *old*.

130. Stamp Reports (Liquors) - These are reports covering strip stamps and distilled spirits stamps, on ATF F 96, 2260, and 2739, or equivalent forms.

28
28
DESTROY ^{when} ~~after~~ 3 years *old*.

131. Daily Reports and Individual Transaction Reports (Liquors) - These records include daily reports and individual transaction forms, notices, or commercial papers covering activities of plants and permittees, except those made a part of assessments, claims, or export files. (Note: See item 134 for disposition of control copies of individual transaction forms.)

- a. Files relating to individual transaction reports (including attachments, if any) covering withdrawals of undenatured spirits in packages from bonded storage facilities of distilled spirits plants (and bonded warehouses), whether for transfer in bond, tax determination, tax-free removal, or removal without payment of tax; and including reports of packaged spirits dumped for mingling and blending, for consolidation of packages, and for destruction of spirits.

DESTROY ~~after~~^{when} 8 years^{old}, or 5 years after discontinuance of business, whichever is earlier.

- b. All other files DESTROY ~~after~~^{when} 4 years^{old}.

Forms that may be contained in these files: 122, 133, 179, 206, 236, 257, 275, 5700.8 or 5700.9 or 5700.10 (formerly 289), 703, 1473, 1478, 1483, 1515, 1577, obsolete 1620, obsolete 1656, 1685, 1689, 2035, 2323, 2522, 2527, 2609, 2612, 2629, 2630, 2633, 2634, 2637, 2739, 3020, 3021, 3875, 5020.19 (formerly 334), 5150.7.

132. Inventories and Reports (Tobacco) - These are reports and inventories of manufacturers of tobacco products, manufacturers of cigarette papers and tubes, and proprietors of export warehouses (including any copies of ATF F 2149 and ATF F 2150, or equivalent forms accompanying a report), inventories and statements of dealers in tobacco materials, and certified copies of ATF F 5200.4 (formerly ATF F 3952) and other applicable reports for tobacco. (Note: See item 134 for disposition of control copy of individual transaction forms.)

DESTROY 3 years after close of year for which inventories and reports are filed.

Forms that may be contained in these files: 2132, 2138, 2140, 2149, 2150, 5210.4 (formerly 3065), 3066, 3067, 5210.5 (formerly 3068), 3373, 5200.4 (formerly 3952).

133. Individual Transaction Forms (Tobacco) - These forms relate to individual certifications, authorizations, or similar transactions, and include such items as ATF F 2145 and 3072, or equivalent forms.

DESTROY 3 years after close of year in which evidence of clearance or delivery was received.

- 11/164-168
29
134. Control Copies of Transaction Forms, Notices, or Commercial Papers (Liquors and Tobacco) - This item relates to the control copy of transaction forms, notices and commercial papers, when used under the conditions described herein. They include the following forms or equivalent forms: ATF F 206, (when used for interregional shipments), ATF F 1473, (when used for interregional shipments and shipments for the use of the United States), ATF F 1689, ATF F 2035, (when used for interregional shipments), ATF F 2149, ATF F 2150, ATF F 5200.4 (formerly ATF F 3952), ATF F 3020, (when used for interregional transfers), and ATF F 3021, and notices of shipment of nonbeverage wine, or equivalent forms.

DESTROY on completion of action on receipted or receipted and endorsed copy, or when no longer needed for control purposes, *whichever is earlier.*

Forms that may be contained in these files: 206, 236, 1473, 1689, 2035, 2149, 2150, 3020, 3021, 3874, 5200.4 (formerly 3952), 5150.7.

135. Tax Returns - These returns pertain to liquor and tobacco. They include returns of tax on beer, wine, distilled spirits, rectified products, and tobacco products (including customs entry or withdrawal forms relating to taxpayment of imported tobacco products); related adjustment statements; and other related papers.

- a. Control copies of beer, wine, and tobacco tax returns.

DESTROY when comparison with receipted copy is completed, or thereafter when no longer needed for control or information, *whichever is earlier.*

- b. All others DESTROY 5 years after close of year in which submitted.

Forms that may be contained in these files: 5110.12 (formerly 1615), 5130.7 (formerly 2034), 2050, 2052, 2137, 2521, 2522, 2523, 2527, 2617, 2626, 2987, 2988, 3071, 3072, 3073, 3074, 3075, 4077, 4640, 5020.26 (formerly 2627), 5100.2.

- 11/164-168
30
136. Claims (Liquors, Tobacco and Firearms) - This item includes all claims, regardless of form number; documents filed in support of claims, such as ATF F 122, 179, 2626, 2627, 2630, 2637 and 3069, or equivalent forms; and related inspection or investigation reports, correspondence, notices of adjustment, letters of rejection, and other papers.

- a. Record copies of claims, documents filed in support of claims, related inspection reports, correspondence, notices of adjustment, letters of rejection, and other papers.

DESTROY 6 years after evidence is received and action on the claim is completed.

- b. Duplicated copies of notices of beer and wine removed from the market.

DESTROY on receipt of inspection report, after audit of related monthly report, or on determination that supervision is not required, ~~as appropriate~~, *whichever is earlier*.

- c. Duplicate copies of notices of cigars, cigarettes, or cigarette papers and tubes removed from the market.

DESTROY after comparison with certified copy accompanying claim.

Forms that may be contained in these files: 487B, 843, 1582, 1582A, 5130.6 (formerly 1582B), 1583, 1610, 1629, 2147, 2148, 5120.20 (formerly 2605), 2606, 2606A, 5130.8 (formerly 2606B), 2611, 2612, 2613, 2626, 2628, 2635, 2639, 3069, 4819, 5020.26 (formerly 2627), 5030.1 (formerly 81), 5100.4 (formerly 646), 5620.1, 5620.3 (formerly 7862), 5620.4 (formerly 2309), 5620.5 (formerly 7801), IRS Forms 11, 1331-B, 3870, SF 1166, 1167.

137. Transaction Forms in Support of Export Claims With Benefit of Drawback (Liquors) - This item covers the following forms, or equivalent forms, covering spirits for export with benefit of drawback which have been accounted for by exportation, transfer to other export storage, or otherwise: ATF F 122, 179, 2630 and 2637. The files also may include obsolete ATF F 1656, or equivalent, covering spirits for export, received by proprietors maintaining places of export storage, which have been similarly accounted for.

DESTROY 6 years after removal of last container from export storage.

138. Records of Errors or Discrepancies Not Resulting in Tax Adjustments, Claim, or Assessment (Liquors and Tobacco) - These files contain copies of records of errors or discrepancies on ATF F 2626 and ATF F 5020.26 (formerly 2627), or equivalent forms, which do not result in tax adjustments on later returns, the filing of claims, or assessment of taxes.

11/164-168

31

Destroy 2 years after completion of form.

139. Verification Copies of Voucher and Schedule, Overpayment and Overassessments - These files contain copies of Standard Form 1166, SF 1167, or equivalent forms, received from Internal Revenue Service Centers for comparison with claims; and notices of adjustment of claims.

DESTROY ^{when} ~~after~~ 1 year ^{old} or when no longer needed, *whichever is later.*

140. Correspondence with District Directors or IRS Service Centers. This is correspondence which does not concern a particular proprietor, permittee, claimant, or other entity for whom regular files are maintained.

DESTROY ^{when} ~~after~~ 1 year ^{old} or when no longer needed, *whichever is later.*

141. Correspondence with Bureau Headquarters. This is correspondence with Bureau Headquarters which does not concern a particular proprietor, permittee, claimant, or other entity for whom regular files are maintained.

DESTROY ^{when} ~~after~~ 1 year ^{old} or when no longer needed, *whichever is later.*

142. Interregional Correspondence. This is correspondence with other regional offices which does not concern a particular proprietor, permittee, claimant, or other entity for whom regular files are maintained, and may include ATF F 2625, and ATF F 5020.3 (formerly 78).

DESTROY ^{when} ~~after~~ 1 year ^{old} or when no longer needed, *whichever is later.*

143. Routine Regional Correspondence. This is correspondence consists of inquiries from the public and related correspondence where the inquirer is not a proprietor, permittee, claimant, or other entity for whom regular files are maintained.

DESTROY ^{when} ~~after~~ 1 year ^{old} or when no longer needed, *whichever is later.*

144. Nonbeverage Drawback Formulas and Bonds. These records include formulas filed by manufacturers of nonbeverage products on ATF F 1678, or equivalent, supplemental statements of process and related correspondence. They also include bonds on ATF F 1730, or equivalent, consents of surety filed in connection with monthly claims and related powers of attorney.

DESTROY 5 years after allowance of last claim filed or on discontinuance of business, *whichever is later.*

- VN164-168
35
145. Export Document Records, Transaction Forms (Withdrawals Without Payment of Tax, Liquors and Tobacco) - These files relate to export transaction forms, related documents and correspondence. The File contains such export forms as the following: ATF F 206, 16891, 2149, 2150, and 3021, and Customs Gauge Report , ATF F 5180.1 (formerly Form 696).
Note: Disposition of control copies of export transaction forms, covering certain transactions, is covered in item 134.

- a. ATF F 206, 1689, 3021, 5180.1 (formerly 696), or equivalent related documents, and correspondence.

DESTROY 5 years after removals are completely accounted for.

- b. ATF F 2149 or 2150, or equivalent related documents and correspondence.

DESTROY 3 years after removals are completely accounted for.

- VN166-154
22
146. Export Bonds and Consents (Withdrawals Without Payment of Tax) - These records include bonds and consents of surety filed by exporters covering withdrawals, without payment of tax, for export (including use as supplies on vessels and aircraft, transfers to customs manufacturing bonded warehouses, and deposits in foreign trade zones), and related powers of attorney, where the exporter of distilled spirits and wines is not the proprietor of the premises from which the withdrawal is made. They also contain ATF F 2104 or equivalent, filed by proprietors of Class 6 warehouses, covering cigars removed from Customs bond for export.

DESTROY 4 years after termination of bond, or when all outstanding liabilities have been satisfied, whichever is later.

Forms that may be contained in these files: 1534, 2104, 2105, 2734, 2735, 2736, 2737.

- VN166-154
21
147. Export Bonds and Consents (Withdrawals With Benefit of Drawback) - These files include bonds and consents of surety (ATF F 1533 and ATF F 2738) filed by exporters, bottlers, or packagers to cover the withdrawal of distilled spirits and wines for export subject to drawback and related powers of attorney.

DESTROY 4 years after termination of bond, or when all outstanding liabilities have been satisfied, whichever is later.

148. Files of Stills Removed to Nonregistrants - These files contain ATF F 26, 110 and 1609, or equivalent, issued to cover the removal of stills from a manufacturer to a dealer, or from a manufacturer or dealer to an agency or instrumentality of the United States, and related correspondence and papers.

NN164-168
38

DESTROY 4 years after still is again removed, or is set up.

149. Specially Denatured Spirits Sample Permits - These records relate to users and prospective users of specially denatured spirits. They include correspondence, applications and permits, ATF F 1512, or equivalent. (Note: Sample permits for users may be placed in the basic files for such users. If so, the retention period will be that for the file in which the permits are kept.)

NN164-168
39

DESTROY ~~after~~ ^{when} 2 years *old*.

150. Bottle Strip Stamp Requisitions - These records include ATF F 428 and related ATF F 5100.5 (formerly 100 or 5003), and 5170.1 covering requisitions or applications for bottle strip stamps, or equivalent forms.

NN164-168
40

a. Receipted copies.

DESTROY ~~after~~ ^{when} 3 years *old*.

b. Control copies of ATF F 5100.5 (formerly 5003).

DESTROY on verification of receipted copy.

151. Distilled Spirits Stamps Requisitions - These are copies of ATF F 2638 and related ATF F 5100.5 (formerly 5003), or equivalent.

NN164-168
57

DESTROY ~~after~~ ^{when} 3 years *old*.

152. Registration for Production of Wine for Family Use - These records include ATF F 1541, 5120.10, or equivalent and related correspondence and papers.

DESTROY 2 years after close of period covered.

153. Non-Permittee Applications and Authorizations (Liquors)- This item relates to persons for whom basic files are not maintained. It contains applications on ATF F 2622, or equivalent; formulas on

NN164-168
41

ATF F 1479-A, or equivalent; requests for cancellation (ATF F 4624); and related correspondence and papers.

DESTROY 2 years after discontinuance of business.

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.

Hold in office Do not transfer to FCC. Do not offer to NARS.
~~Permanent Record.~~

156. Historical Permit File Index Card, (Liquor 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 when no longer needed.

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.

d. ATF F 5020.9 for distilled spirits plant, bonded winery, brewery tobacco manufacturer, export warehouse, wholesale liquor dealer, and importer.

DESTROY 5 years after discontinuance of business.

157. Permit File - Public Inspection Index Card - These are copies of ATF F 5020.9 (formerly Form 1411), or equivalent, covering proprietors and permittees who are authorized to sell or purchase tax-free or specially denatured alcohol. They may be inspected by persons authorized to sell or purchase tax-free or specially denatured alcohol.

DESTROY 1 year after permit application is disapproved or when permit is terminated, *whichever is later.*

158. Record Card>Returns, Bonds and Application Record - (Liquor & Tobacco) - These are control index cards on ATF 5020.5 (formerly Forms 1411-A and 2624), or equivalent.

a. Operating business.

DESTROY 1 year after a card is filled.

b. Discontinued business

DESTROY 1 year after discontinuance of business.

c. Card prepared on application, but not used and no permit issued.

DESTROY on disapproval of the application or qualifying documents.

159. Record of Bonds (Card Index) - These records are maintained on ATF F 5020.11 (formerly Form 70), or equivalent, and filed by name of surety granting bonds relating to liquors and tobacco.

DESTROY 1 year after bond has been superseded or terminated.

160. Register of Applicants for Basic Permits (Liquors) - These are copies of ATF F 5020.12 (formerly Form 1708), or equivalent, covering applications for basic, operating, and industrial use permits which are required to be available for public inspection for 1 year after issuance or denial of the permit.

DESTROY 1 year after issuance or denial of permit.

161. Record and Receipt of Inventories and Reports, (Liquors and Tobacco) - These are records on ATF F 5020.8 (formerly Form 825), or equivalent, of the receipt of inventories and reports required to be submitted periodically by establishments and permittees.

a. Operating business.

DESTROY 2 years after card is filled.

b. Discontinued business.

DESTROY 1 year after discontinuance of business.

- NN164-168*
44
162. Record Card (Report, Receipt, Withdrawal Allowances, Bonds, Approved Uses Record) - These are reference cards on ATF F 5020.7 (formerly Form 1778), or equivalent. As applicable, the penal sum of bond, withdrawal allowances, and formulas are shown with respect to distilled spirits plants, bonded dealers, specially denatured spirits users, and other establishments or users other than bonded wine cellars, breweries, tobacco products factories, and manufacturers of cigarette papers and tubes.

a. Operating business for which application was approved.

DESTROY as cards are filled and new cards prepared.

b. Discontinued business.

DESTROY 1 year after discontinuance of business.

c. Prepared for prospective proprietor or permittee, but not used due to disapproval of application.

DESTROY on disapproval of related qualifying documents.

- NN164-168*
45
163. Record Card (Bonded Wine Cellar Bond Account). Records are maintained on ATF F 5120.11 (formerly Form 1597), or equivalent, as accounts of liability under bonds in less than the maximum penal sum.

a. Operating business for which a bond is approved.

DESTROY as cards are filled and new cards prepared, provided all charges against the bond, as shown on the filled cards, have been accounted for.

b. Discontinued business.

DESTROY 1 year after discontinuance of business, provided all charges against the bond have been accounted for.

c. Records prepared for prospective proprietors or permittees, but not used due to disapproval of qualifying documents.

DESTROY on disapproval of qualifying documents.

- NN 164-168*
46
164. Record Cards (Account of Liquor Withdrawn for Exportation) - These card records relate to distilled spirits and wines for export. They are maintained on ATF F 5020.18 (formerly Form 1688), or equivalent, as accounts with exporters' bonds (in less than the maximum penal sum) including bonds covering transportation to a customs manufacturing bonded warehouse, and covering withdrawals without payment of tax on distilled spirits or wines for export, transfer to customs bonded warehouses, deposit in foreign trade zones, and use as supplies on vessels and aircraft.

a. Operating business.

DESTROY 1 year after cards are filled, or when all charges are accounted for and the current balance is in agreement with the export file of unaccounted for items, whichever is later.

b. Discontinued business.

DESTROY 1 year after discontinuance of business or when all charges are accounted for, whichever is later.

- Now Item*
165. Nonbeverage Drawback Record - These are ATF F 5020.14, or equivalent, and are used as control records of amounts of drawback claimed under the nonbeverage drawback bond.

DESTROY 6 years after card is filled, or 6 years after action on claim is completed.

166. Assessment Index Card - These cards are maintained on ATF F 6981-A, and 6981-C, or equivalent forms. They show the names and the addresses of the taxpayers against whom assessments have been made, the amounts of the assessments, and the Internal Revenue Service Center's document locator number; and constitute an alphabetical index to persons assessed.

DESTROY 6 years after assessment.

167. Tax Control Cards - These card records, on ATF F 5600.2 (formerly 1657), or equivalent, provide a tax control record where tax is guaranteed by

surety bond, for assessments, and show progress and disposition of the assessments.

DESTROY 1 year after final disposition of the assessment.

168. Claims Record - These card records, on ATF F 5620.2 (formerly Form 1731), or equivalent, are prepared for each claim showing specified information pertinent to the particular claim.

DESTROY 6 years after action on the claim is completed.

169. Record of Offer in Compromise - These records, on IRS Form 2515, or equivalent, are received from Internal Revenue Service Centers and show the routing and action taken on the offer, name of proponent, etc.

DESTROY at time of disposition of corresponding offer in compromise file.

170. Control Record of Tax Liability - These are control card records of tax liability on ATF F 5020.4.

*WN164-168
48*

- a. Operating business.

DESTROY 2 years after card is filled.

- b. Discontinued business.

DESTROY 2 years after discontinuance of business, or 2 years after all outstanding liability has been satisfied, whichever is later.

171. Record of Prepayment Tax Returns - These card records on ATF F 5020.6 (formerly Form 2819), or equivalent, show the receipt of prepayment tax returns.

*WN164-168
49*

- a. Operating business.

DESTROY 1 year after card is filled.

- b. Discontinued business.

DESTROY 1 year after discontinuance of business.

172. Analysis and Control Report Files - These files contain copies of analysis and control projects and tasks and ATF F 5020.15 (formerly Form 2744), together with related reports, correspondence, and papers; and ATF F 5020.24 (formerly Form 2745), or equivalent, which shows information as to the progress of projects, and serves as an index to the records.

*WN164-168
50*

DESTROY 4 years after completion of project or task or when no longer needed for reference purposes, whichever is earlier.

173. Records of Lock, Seals, and Gauging Instruments - These are records of locks, seals, and gauging instruments supplied to area or plant offices.

DESTROY ~~after~~ ^{when} 2 years *old*.

174. Abstract and Statement (For Public Inspection), - These are copies of the abstract and statement prepared by the regional office for public inspection, on ATF F 5640.3 (formerly 7249-K, 7249-L, and 7249-N), or equivalent forms.

- a. Abstract and statement for accepted offers in compromise.

DESTROY ~~after~~ ^{when} 1 year *old*.

- b. Abstract and statement for rejected offers in compromise.

DESTROY on rejection of the offer.

175. Special Tax Record - This file contains photocopies of IRS Form 11, Special Tax Return and Application for Registry (other than those covering firearms and retail liquor dealers), forwarded by Internal Revenue Service Centers indicating payment of special tax and may be used in the verification of claims.

DESTROY after verification or when no longer needed for control or references, *whichever is later*.

176. Retail Liquor Dealer Records - These records include copies of retail liquor dealer offers in compromise and recommendation for assessment of special tax, and related inspection reports and papers.

- a. Copies of offers in compromise, recommendation for assessment of special tax, and related data.

DESTROY ~~after~~ ^{when} 5 years *old*.

- b. Control copies of ATF F 5020.22 (formerly Form 2623), assessment of special tax, or equivalent.

DESTROY on return of record copy of ATF F 5020.22 from the Internal Revenue Service Center.

Forms that may be contained in these files: 5020.22 (formerly Form 2623), 5030.3 (formerly Form 1559), 5640.3 (formerly Form 7249-K, L & N), and IRS Forms 2644, 2645, 2859.

177. Emergency Relocation Records - These records include copies of ATF F 5700.11 (formerly 2254), or equivalent, reports and other documents relating to the emergency relocation program.

DESTROY when superseded or obsolete.

178. Disapproved Change Applications - These are extra copies of disapproved applications submitted by proprietors or permittees for changes in construction, use, or equipment.

DESTROY 1 year after disapproval.

179. Record of Inspection Assignments and Reports. These are ATF F 5020.10 (formerly Form 1511), or equivalent, which are prepared on receipt of a permit application, but which will not be used because the application is disapproved.

DESTROY on disapproval of the application.

180. Special Tax Delinquency Notices and TDI Records and Reports - These are copies of TDI notices, TYD-14 or IRS F 4869 or equivalent, received in regional offices from Internal Revenue Service Centers as notices of delinquency in payment of special tax and processed by regional offices or forwarded to offices of area supervisors for necessary action, copies of ATF F 5030.1 (formerly 81) and 5630.2. and records and reports maintained on the TDI program.

a. Resolved TDI's, TYD-14 or IRS F 4869.

DESTROY 1 year after closing or when no longer of value, whichever is earlier.

b. Other records or reports.

DESTROY after 1 year or when no longer of values, whichever is earlier.

181. Receipt for Payment of Taxes, IRS Form 809 - These records include accounts of unused IRS Form 809 received, on hand, and issued to inspectors; and part I of IRS Form 809 received with inspectors' reports, part 3 from District Directors, Internal Revenue Service Center monthly summary accounting of IRS Form 809 transactions on ATF: F 5030.2 (formerly 1494-B), IRS Form 809; and related correspondence.

DESTROY ~~after~~ ^{when} 2 years *old*.

182. Officer's Record and Report of Distilled Spirits Stamps - These records include requisitions on ATF F 2638, received from assigned inspectors; retained copies of requisitions prepared in the regional office; and ATF F 2739, or equivalent forms.

DESTROY ~~after~~ ^{when} 2 years *old*.

183. Administrative and Support CFO Files - These files contain various routine records of information necessary for the operation and function of CFO offices. The records may contain copies of IRS Forms 2275, 4338, ATF F 1200.29 thru 1200.32.

DESTROY after 1 year, or after requirement for the records is obsolete, whichever is earlier.

- New Item*
184. Establishment Files, (Liquor Bottles) - These records contain ATF F 4328; Notice of Intent to Manufacture Liquor Bottles, and assignment of manufacturer's number, and miscellaneous correspondence.

DESTROY 1 year after discontinuance of business.

- New Item*
185. SDA Record Cards - These are card records ATF F 5150.4 or equivalent, of approved SDA proprietors' formulas on ATF F 1479-A and control record cards ATF F 5150.5, or equivalent, for rebottlers and reproducers of SDA products.

DESTROY 1 year after discontinuance of business.

- New Item*
186. Control Copies and Suspense File of Miscellaneous Documents (Alcohol and Tobacco) - These are control copies of documents such as applications, notices, requests for inspection, inquiry letters, etc., not specifically referred to in other items in this schedule.

DESTROY when no longer needed for control purposes.

- 10-436-76-1*
1a
187. Firearms Licensee File (DENIED, ABANDONED, or WITHDRAWN) - These files relate to firearms and contain correspondence, admonitory letters, demand letters, inspection reports, and copies of applications for firearms licenses which have been denied, abandoned or withdrawn.

DESTROY ~~after~~ ^{when} 5 years *old*.

Forms that may be contained in these files: 7, 8, 1534, 5300.7 (formerly 4317), 4498, 4499, 4500, 4501, 4805, 4871, 5020.3, (formerly FBI 78), 5020.31, 5020.32, 5030.1 (formerly 81), 5030.5 (formerly 4729), 5030.6, 5300.1 (formerly L-344), 5310.1 (formerly L-248), 5310.2 (formerly L-329), 5310.6 (formerly 249, L-249), 5310.7 (formerly 316, L-316).

- 10-436-76-1*
1b
188. Firearms Licensee File (REVOKED) - These files relate to firearms and contain the application, correspondence, admonitory letters, demand letters, and inspection reports prepared for each applicant/licensee, and a copy of the license which was revoked.

DESTROY ~~after~~ ^{when} 5 years *old*.

Forms that may be contained in these files: 7, 8, 1534, 4499, 4500, 4501, 4805, 4871, 5020.3 (formerly FBI 78), 5020.31, 5020.32, 5030.1 (formerly 81), 5030.5 (formerly 4729), 5030.6, 5300.1 (formerly L-344), 5310.1 (formerly L-248), 5310.2 (formerly L-329), 5310.6 (formerly 249 & L-249), 5310.7 (formerly 316, L-316).

VC-436-76-1
1c
189. Firearms Licensee File (NOT RENEWED) - These files relate to firearms and contain the application, correspondence, admonitory letters, demand letters, inspection reports prepared for each applicant/licensee, and a copy of the license which was not renewed.

DESTROY 2 years after nonrenewal or 5 years after issuance of original license, whichever is later.

Forms that may be contained in these files: 7, 8, 1534, 4805, 4871, 5020.3 (formerly FBI 78), 5020.31, 5020.32, 5030.1 (formerly 81), 5030.6, 5300.1 (formerly L-344), 5400.1.

VC-436-76-1
1a
190. Explosives Licensee and Permittee File (DENIED, ABANDONED, or WITHDRAWN) - These files relate to explosives and contain correspondence, admonitory letters, demand letters, inspection reports, and copies of applications which have been denied, abandoned or withdrawn.

DESTROY ^{when} ~~after~~ 5 years ~~old~~.

Forms that may be contained in these files: 1534, 4705, 4706, 4707, 4708, 5400.6 (formerly 4709), 4715, 4716, 4718, 4805, 4871, 5020.3 (formerly FBI 78), 5020.31, 5020.32, 5030.1 (formerly 81), 5030.5 (formerly 4729), 5030.6.

VC-436-76-1
1b
191. Explosives Licensee and Permittee File (REVOKED) - These files relate to explosives and contain the application, correspondence, admonitory letters, demand letters, inspection reports prepared for each applicant/licensee, and a copy of the license or permit which was revoked.

DESTROY ^{when} ~~after~~ 5 years ~~old~~.

Forms that may be contained in these files: 1534, 4705, 4706, 4707, 4708, 5400.6 (formerly 4709), 5400.5 (formerly 4712), 4715, 4717, 4718, 4805, 4871, 5020.3 (formerly FBI 78), 5020.31, 5020.32, 5030.1 (formerly 81), 5030.6, 5400.1.

VC-436-76-1
1c
192. Explosives Licensee and Permittee File (NOT RENEWED) - These files relate to explosives and contain the application, correspondence, admonitory letters, demand letters, and inspection reports prepared for each applicant/licensee, and a copy of the license or permit which was not renewed.

DESTROY 2 years after license not renewed or 5 years after issuance of original license, whichever is later, except ATF F 4709, User Permit-Limited (valid for single transaction only) and ATF F 4706: License (Manufacturer Limited-30 day license).
DESTROY after 2 years.

Forms that may be contained in these files: 1534, 4705, 4706, 4707, 4708, 5400.6 (formerly 4709), 5400.5 (formerly 4712), 4805, 4871, 5020.3 (formerly FBI 78), 5020.31, 5020.32, 5030.1 (formerly 81), 5030.6, 5400.1.

- New Item* 193. Master File Cross-Reference Record Card - These cards are historical copies of ATF F 5020.23 (formerly IRS Form 4731, 4730), or equivalent, relating to all firearms and explosives licensees and include a card record of each applicant, partner, and responsible person listed on the applications. They have continuing reference value in the processing of applications and permits.

DESTROY MFCR card when information is received that the person is deceased or that it has been 10 years since termination of the license.

- New Item* 194. Records of Acquisition of Ammunition Received from Out-of-Business Licensees - These files contain records of ammunition receipts.

DESTROY when received by the regional regulatory administrator.

- New Item* 195. Records of Sales or Disposition of Ammunition Received from Out-of-Business Licensees - These files contain records (ledger books) of sales or disposition of ammunition.

DESTROY 2 years after date of last entry.

- New Item* 196. Records of Acquisition of Explosives Received from Out-of-Business Licensees - These files contain records (invoices or ledger books) of explosives receipts.

DESTROY on receipt by the regional regulatory administrator.

- New Item* 197. Records of Sales or Disposition of Explosives Received from Out-of-Business Licensees - These files contain records (ledger books, ATF F 4710, ATF F 4721) of sales or disposition of explosives.

DESTROY 5 years after date of last entry or 5 years after discontinuance of business.

- New Item* 198. Out-of-Business Firearms Licensees Records - These are records on ATF F 4473, parts I and II, Firearms Transaction Record, or equivalent forms, bound ledgers, and related records maintained by federally licensed firearms dealers.

~~PERMANENT record~~. Forward to Bureau Headquarters on discontinuance of business.

- New Item* 199. Firearms and Explosives Licensee Master Lists - These are records on ATF F 5310.3 (formerly 5320.1), 5310.4 and 5310.5, or equivalent forms.

DESTROY ^{when}~~after~~ 1 year *old*.

- New Item* 200. ADP Error Resolution and Program Check Files - These files contain separate periodic information printouts of firearms and explosives licensees and permittees.
DESTROY 6 months after issuance.
- New Item* 201. Licensee Registers - These are records in looseleaf binders or bound books of each firearms and explosive license number issued and the person to whom the license number was issued.
~~PERMANENT~~ *Destroy when 50 years old.*
- New Item* 202. Part 4 of Explosives License - This is an alphabetical record of licenses on part 4 of ATF F 4706 or 4708.
~~PERMANENT retention of the current or last part 4.~~ *Destroy when 50 years old.*
- New Item* 203. Firearms License Records- These files contain alphabetically filed copies of the current or most recent copy of part 4 of ATF F 8: License (18 USC Chapter 44) Firearms.
~~PERMANENT retention of the current or last part 4.~~ *Destroy when 50 years old.*
- New Item* 204. Variance Files (Firearms and Explosives) - These are file copies of all recordkeeping and storage variances (firearms and explosives) granted by the regional regulatory administrator and may include copies of variances granted by ATF Headquarters.
DESTROY ~~after~~ *when* 10 years *old.*
- New Item* 205. Firearms and Explosives Correspondence Files - These are chronological files of copies of outgoing correspondence to other ATF offices and to industry members which are in addition to copies of correspondence filed in the license or permit folders.
DESTROY ~~after~~ *when* 3 years *old.*
- New Item* 206. Control Copies and Suspense File of Miscellaneous Documents (Firearms and Explosives) - These are control copies of documents such as applications, notices, requests for inspection, inquiry letters, etc., not specifically referred to in other items in this schedule.
DESTROY when no longer needed for control purposes.
- New Item* 207. Periodic Records and Reports - These are copies of forms 5020.1 (formerly 4475, 4121 Sh. 1, and 2300 pg. 1), 230i (page 1), 5020.2 (formerly 2301 pg. 2), 5700.5 (formerly 2302), other consolidated records and reports, and narrative reports of activities, accomplishments, and problems.
DESTROY 2 years after close of fiscal year.

New Item 208. Statistical Reports Files - These are retained copies of statistical reports prepared by the regions and submitted to Bureau Headquarters. They include reports on forms 5120.21 (formerly 733), 1553, 2033, 5700.4 (formerly 2306 sheets 1, 2, and 3), 5020.36 (formerly 2307, sh 1), 5110.6 (formerly 2743), 5110.7 (formerly 2740), 5110.8 (formerly 2742), 5110.9 (formerly 2741), 5150.8 (formerly 1555-C and 5020.37), and 5210.3 (formerly 7007).

DESTROY ^{when} ~~after~~ 2 years *old*.

209-214. RESERVE

REGULATORY ENFORCEMENT

AREA OFFICE RECORDS

(Note: The disposition authorization established for records in the regional office will apply to duplicate records maintained in the area office).

- NN164-168*
55
215. Records of Inspection Assignments and Reports - These are records on ATF F 5020.10 (formerly 1511), or equivalent, and are used in the control and diversification of inspections of permittees and include briefs of inspection results.

DESTROY 4 years after all assignments covered by the record are completed.

- NN164-168*
64
216. Assignment and Report of Inspection - These are records on ATF F 5030.1 (formerly 81) and 5030.3 (formerly 1559), or equivalent forms, and are used for the assignment and report of inspections.

DESTROY 2 years after completion of inspection.

- NN164-168*
65
217. Plant Profiles - These are written descriptions of operations, records, and internal controls of plants. They include profiles of distilled spirits plants; breweries; major bonded wine cellars and tobacco factories; and other establishments. Basic records are maintained by area supervisors; copies are furnished for on-premises inspectors.

DESTROY when no longer of value or as directed by the regional regulatory administrator.

- NN164-168*
59
218. Plant Data Records - These records relate to plant proprietors, and include copies of correspondence, information compiled through sales verification checks, report of violations, ATF F 5030.5 (formerly 4729, 4799), and ATF F 5030.4 (formerly 1669), inspection reports, and related forms and papers.

- a. Operating business.

DESTROY ~~after~~ ^{when} 3 years *old*.

- b. Discontinued business.

DESTROY on discontinuance of business.

219. Administrative and Support Files - These files contain various routing records of information necessary for the operation of and functions of area supervisors' offices.

DESTROY after 1 year, or after requirement for the records is obsolete, whichever is earlier.

- 2/11/64-168*
61
220. Special Tax Delinquency Notices and TDI Records and Reports - These are copies of TDI notices, IRS TYD-14 or form 4869, or equivalent, received in regional offices from Internal Revenue Service Centers as notices of delinquency in payment of special tax and processed for regional offices or forwarded to offices of area supervisors for necessary action; copies of ATF F 5030.1 (formerly 81), and 5630.2, and records and reports maintained on the TDI program.

- a. Resolved TDI's, TYD-14 or form 4869.

DESTROY 1 year after closing or when no longer of value, whichever is earlier.

- b. Other records or reports.

DESTROY after 1 year or when no longer of value, whichever is earlier.

221. Records of Locks, Seals, Gauging Instruments, and Gauging Manuals - These files include records of locks, seals, gauging instruments, gauging manuals, etc., requisitions for such property on ATF F 5110.2 and records of disposition of such property, and part 3 of ATF F 5700.10 (formerly ATF F 289).

DESTROY ~~after~~ ^{when} 2 years *old*.

- 2/11/64-168*
56
222. Field Officers' Monthly Activity Report - These are reports on ATF F 5030.2 (formerly 1494-B), or equivalent, submitted monthly or at other intervals specified by the regional office, by inspectors, giving details of accomplishments, expenses, and other items.

DESTROY ~~after~~ ^{when} 2 years *old*.

- Wardham*
223. Plant Data Files - These files contain copies of correspondence, including copies of Permit Status Memorandums, ATF F 5000.3 (formerly 2631), and other papers relating to plant or permit operations.

- a. Superseding documents in active files.

DESTROY 3 years after date of supersedence.

b. All other items

DESTROY ^{after} ~~on~~ discontinuance of business.

- New Item*
224. Area Supervisors' Office Copy of ATF F 8 (Firearms License) - These are the current copy of ATF F 8 (part 6) maintained by area supervisors.

DESTROY after discontinuance of business.

- New Item*
225. Firearms Licensee File Records - These files relate to firearms and contain copies of the application, correspondence, admonitory letters, demand letters, inspection reports prepared for each applicant/licensee, and a copy of the license which was REVOKED or NOT RENEWED.

DESTROY after discontinuance of business or nonrenewal or revocation.

Forms that may be contained in these files: 7, 8, 5300.7 (formerly 4317), 4499, 4500, 4501, 5030.1 (formerly 81), 5030.5 (formerly 4729).

- New Item*
226. Explosives Licensee and Permit File Folders - These files maintained in office of area supervisors relate to explosives and contain the application, correspondence, admonitory letters, demand letters, inspection reports prepared for each applicant/licensee, and a copy of the license or permit which was REVOKED or NOT RENEWED.

DESTROY after discontinuance of business or nonrenewal or revocation.

Forms that may be contained in these files: 4705, 4706, 4707, 4708, 5400.6 (formerly 4709), 4715, 4717, 5030.1 (formerly 81), 5030.5 (formerly 4729).

227-231. RESERVED

REGULATORY ENFORCEMENT

PLANT OFFICE RECORDS

(Note: Includes files and records maintained in the government cabinet or on the plant premises.)

NN164-168
66
232. Special Operations or Conditions Reports - These are copies of reports prepared by plant officers covering unusual operations or conditions at supervised plants.

a. Operating business.

DESTROY ^{when} ~~after~~ 3 years *old*.

b. Discontinued business.

DESTROY immediately.

NN164-168
67
233. Journal of On-premises Supervision - These journals contain information regarding day-to-day supervisory activities not reflected in other official forms or reports.

DESTROY when no longer of value or 2 years after the journal is filled, whichever is earlier.

NN164-168
68
234. Registration Records - These records include copies of notices of registration, on ATF F 2607, or equivalent, and attached pages, and special diagrams or drawings.

a. Pages of ATF F 2607 or attachments covering the current registration.

DESTROY on discontinuance of business.

b. Superseded pages.

DESTROY when page becomes obsolete or as directed by the regional regulatory administrator, *whichever is earlier*.

NN164-168
69
235. Registration Support Records - These records include copies of applications for plant changes affecting the accuracy of notices of registration on ATF F 2610 and 5000.3 (formerly 2631), or equivalent forms. Inspectors' statement of discrepancies, and report of violations on ATF F 5030.5 (formerly 4729 and 4799) and related correspondence.

a. Applications for plant changes.

DESTROY immediately after completed changes have been covered by an amended notice of registration, or on discontinuance of business, whichever is earlier.

b. ATF F 5000.3 (formerly 2631), or equivalent form.

DESTROY after 2 years or on discontinuance of business, whichever is earlier.

c. ATF F 2610 relative to change in status of plant.

DESTROY 1 year after the notice or application is superseded by a new notice or application on ATF F 2610.

d. All other records, including 5030.5 (formerly 4729 and 4799).

DESTROY when no longer needed.

236. Schedules, Letterhead Notices, and Letterhead Applications - These files contain proprietors' schedules (such as schedules of operations and samples); notices (such as notices of removal of fermenting material); letterhead applications (such as for change of packages, and rebottling, relabeling, or restamping bottle spirits), approved by the assigned officer; and copies of letterhead applications (approved by the Director or the regional regulatory administrator) for special permissions; and related papers.

*NN164-168
70*

a. Operating business.

DESTROY 2 years after completion of last action or transaction, or 2 years after receipt of superseding notice, schedule, or application, as applicable. Retain approved variations of operations as long as variations are in effect.

b. Discontinued business.

DESTROY on discontinuance of business.

237. Summary of Deposits and Withdrawals at Bonded Warehouse, ATF F 1621 - These files contain ATF F 1621, or equivalent, prepared by the assigned officer, showing deposits in, withdrawals from, and spirits remaining in bonded storage facilities of a distilled spirits plant.

DESTROY when no longer of value or as directed by the regional regulatory administrator.

238. Deposit Forms, Storage Facilities - These are copies of forms covering transfers of spirits to storage facilities from production facilities and from other storage facilities and premises (including returns from bottling-in-bond department, packages filled, and brandy and rum blended), showing details as to each container.

DESTROY 2 years after notice of removal of the last container (of spirits) from the bonded premises.

Forms that may be contained in these files: 236, 1515, 1685, 2323, 2612, 2629, 2630 (formerly 1520).

239. Transaction Records (Other than Storage Facilities Deposit Forms) - These records include copies of transaction forms which the officer receives for his records and files (other than deposit forms), attachments, and related correspondence, if any.

DESTROY ~~after~~^{when} 2 years *old*.

Forms that may be contained in these files: 122, 179, 236, 257, 275, 1515, 1577, 5110.12 (formerly 1615), 2546, 2609, 2629, 2630 (formerly 1520), 2633, 2637, 4738, 5030.4 (formerly 1669), and 5110.1.

240. Plant Officers' Reports - These are the officers' copies of reports such as reports of losses at storage facilities, and records of tests of alcohol content of chemicals to be destroyed or removed; and related papers.

- a. Reports relating to losses at storage facilities.

DESTROY 2 years after removal of container.

- b. All other records.

DESTROY ~~after~~^{when} 2 years *old*.

241. Records and Reports - These are copies of records of inspection assignments and reports, activity reports, and progress reports. Records of readings of counters or mechanical sampling devices, records of scale tests, and records of comparative determination of proof, ATF F 5030.1 (formerly 81), 5030.2 (formerly 1494-B), 5030.7, 5110.3, 5110.4, 5110.5, and records of sampling devices.

DESTROY ~~after~~^{when} 2 years *old*.

242. Records and Reports of Locks, Seals, Gauging Instruments and Gauging Manuals - These are records and summary reports on ATF F 5700.8, 5700.9 and 5700.10 (formerly ATF F 289) and ATF F 5110.2, or equivalent,

of locks, seals, gauging instruments, etc., and requisitions for such equipment and related papers.

- a. Records on ATF F 5700.8 (formerly part 1 of ATF F 289), 5110.2 and related papers.

DESTROY 2 years after last entry.

- b. Records and reports on ATF F 5700.9 and 5700.10 (formerly parts 2 and 3 of ATF F 289), 5110.2 and related papers.

DESTROY ~~after~~ ^{when} 2 years *old*

243. Officers' Record and Report of Distilled Spirits Stamps, and Bottle Strip Stamps - These are accounts, reports, requisitions, and related papers, for bottle strip stamps and distilled spirits stamps.

DESTROY ~~after~~ ^{when} 2 years *old*

Forms that may be contained in these files: 428, 5100.8 (formerly 2260), 2638 and 2739.

244. Tax Returns - These are inspectors' copies of tax returns on ATF F 2521, 2522, 2523, 2527, 2987 and 4077 (prepayment and deferred) and related ATF F 2626, or equivalent forms; and related correspondence.

DESTROY ~~after~~ ^{when} 2 years *old*.

245. Officers' Operational Records and Reports - These files consist of summaries of operations derived from transactions on forms, such as ATF F 122, 1577, and 2546, or equivalent forms.

DESTROY ~~after~~ ^{when} 2 years *old*.

246. Officers' Records and Reports of Samples - These files include ATF F 1615, 1537, 5030.4 (formerly 1669), and equivalent forms; applications for samples and related papers.

DESTROY ~~after~~ ^{when} 2 years *old*.

247. Accounts of Liquors Withdrawn for Exportation - These files pertain to inspectors' accounts with bonds, covering withdrawals of distilled spirits and wines for exportation, where the bond is in less than the maximum penal sum, on control card ATF F 5020.18 (formerly 1688), or equivalent.

NI 164-168

73

NI 164-168

74

- a. Operating business, continuing to export under a less than maximum penal sum bond.

DESTROY 2 years after card is filled.

- b. Operating business, discontinuing exportation under a less than maximum penal sum bond.

DESTROY 2 years after discontinuance of export transactions.

- c. Discontinued business.

DESTROY on discontinuance of business.

- NN164-168
75*
248. Application for Transfer of Spirits and/or Denatured Spirits in Bond, ATF F 2609 - These records pertain to transfers of spirits (including denatured spirits) in bond.

- a. Single transactions.

DESTROY 2 years after completion of transactions, or termination of application or ATF F 2609.

- b. Continuing transactions.

DESTROY 2 years after approved application is cancelled or the qualifying bond is terminated.

249. Plant Profile Files - These files contain the assigned officers' copies of the plant profile furnished by the area supervisor.

DESTROY when no longer of value or as directed by the regional regulatory administrator.

- NN164-168
76*
250. Formula and Process for Rectified Products - These files contain inspectors' copies of formulas and processes, on ATF F 27-B, Supplemental, or equivalent.

DESTROY on discontinuance of business or when an approved formula is superseded by a new formula or the formula is cancelled or surrendered.

- NN164-168
62*
251. Records of Assignments of Inspectors - These are master card indexes, ATF F 5020.10 (formerly 1511) or equivalent, showing assignments of inspectors at plants. The records are used in the assignment and rotation of inspectors.

DESTROY 1 year after all assignments covered by the card are completed, or after discontinuance of business.

252-263. RESERVED

REGIONAL LABORATORY RECORDS

264.
NN166-154
24

Chemists' Analysis Reports - These are copies of chemists' reports of analysis of samples of alcohol, alcoholic beverages, and tobacco products, on ATF F 7100.2, Report of Laboratory Examination.

a. Regulatory Enforcement samples.

DESTROY ~~after~~ ^{when} 2 years *old*.

b. Criminal Enforcement samples.

DESTROY ~~after~~ ^{when} 10 years *old*.

265.
NN164-168
78

Formula and Process for Nonbeverage Product, ATF F 1678 - These are laboratory copies of formulas and processes on ATF F 1678, or equivalent, submitted by manufacturers of nonbeverage products, and related papers.

DESTROY 2 years after discontinuance of business.

266.
NN164-168
79

Formulas for Article Made with Specially Denatured Alcohol or Rum, ATF F 1479-A - These are laboratory copies of formulas, processes, and labels covering products made with specially denatured alcohol and reprocessed articles or products, on ATF F 1479-A, or equivalent.

DESTROY 2 years after discontinuance of business.

267.
NN164-168
80

Chemists' Record Books - These are books containing records of samples received, including identification of the samples, date of analysis, results of examination, and other related information.

DESTROY ~~after~~ ^{when} 10 years *old*.

268.
NN166-154
25

Card Records of Analysis - These are index cards showing data pertinent to the analysis of samples on ATF F 7110.4, Record of Analysis, or equivalent.

a. Regulatory Enforcement samples.

DESTROY 2 years after completion of analysis.

b. Criminal Enforcement samples.

DESTROY 5 years after completion of analysis, providing there is no court case pending relating to the tests.

CFR 101.11

269. Requests for Sample Analysis - These are laboratory copies of requests for sample analysis, and related papers. The requests are made on ATF F 5030.4, Removal and Submission of Samples for Testing, or equivalent.

DESTROY ~~after~~ ^{when} 1 year *old*.

270. Records of Disposition of Samples - These are laboratory copies of forms authorizing destruction or other disposition of samples. Forms included in this file are: ATF F 3270.6, Progress Record of Case, and ATF F 1537, Chemist's Report of Examination of Sample, or equivalent forms. The records include other papers authorizing destruction or other disposition of samples.

DESTROY ~~after~~ ^{when} 3 years *old*.

271. Samples Index Books - These are books prepared on ATF F 7120, Index Record Book of Samples, or equivalent. They contain information as to samples received, including laboratory number, date received, how submitted, date of report, and disposition of samples.

DESTROY ~~after~~ ^{when} 20 years *old*.

272. Hydrometer Correction Graphs (ATF F 2336), Calibration Records (ATF F 3022), and Thermometer Certificates - These are copies of the correction records for each hydrometer and of the certificate for each glass shell gauging thermometer tested for accuracy.

DESTROY when hydrometer or thermometer is broken or destroyed.

273. Correspondence (Technical) - This is correspondence with the Headquarters laboratory, other regional laboratories, learned societies, colleges and universities and producers and distributors of scientific equipment and materials. The correspondence is on purely scientific matters, and on matters involving laboratory services to local, state, or Federal agencies.

a. Headquarters correspondence.

DESTROY ~~after~~ ^{when} 10 years *old*.

b. All other correspondence.

DESTROY after 2 years or thereafter when no longer needed for laboratory purposes.

274. Report of Samples More than One Year Old - These are reports of samples which are more than one year old and for which no disposition authority has been received. .

DESTROY ~~after~~ ^{when} 1 year *old*.

275. Quarterly Report of Analysis of Authentic Bottled Distilled Spirits, ATF F 7100.1 - These are copies of consolidated quarterly reports, on ATF F 7100.1, or equivalent, covering analysis by all Bureau laboratories.

a. Regional laboratory record copy.

DESTROY ~~after~~ ^{when} 10 years *old*.

b. Reference copies.

DESTROY when no longer needed for reference purposes.