

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 Subdivision
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 be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0564-2013-0004

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 Schedule Items

Sequence Number	
1	<p data-bbox="371 433 802 463">General Legal Correspondence</p> <p data-bbox="371 487 1149 517">Disposition Authority Number DAA-0564-2013-0004-0001</p> <p data-bbox="371 541 1488 685">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.</p> <p data-bbox="371 709 923 739">Final Disposition Temporary</p> <p data-bbox="371 763 860 793">Item Status Active</p> <p data-bbox="371 817 830 847">Is this item media neutral? Yes</p> <p data-bbox="371 871 816 983">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="371 1021 674 1052">Disposition Instruction</p> <p data-bbox="371 1078 1372 1108">Cutoff Instruction Cutoff files at the end of the fiscal year (FY).</p> <p data-bbox="371 1131 1171 1162">Retention Period Destroy 7 year(s) after cutoff.</p>
2	<p data-bbox="371 1203 670 1233">Additional Information</p> <p data-bbox="371 1256 956 1287">GAO Approval Not Required</p> <p data-bbox="371 1310 712 1341">Review of Public Rulings</p> <p data-bbox="371 1364 1149 1394">Disposition Authority Number DAA-0564-2013-0004-0002</p> <p data-bbox="371 1418 1488 1528">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).</p> <p data-bbox="371 1552 923 1582">Final Disposition Temporary</p> <p data-bbox="371 1606 860 1636">Item Status Active</p> <p data-bbox="371 1660 830 1690">Is this item media neutral? Yes</p> <p data-bbox="371 1714 816 1826">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="371 1864 674 1895">Disposition Instruction</p> <p data-bbox="371 1920 1207 1951">Cutoff Instruction Cutoff files at the end of the FY.</p>

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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 e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff files at the end of the FY in which the file is superseded or obsolete, whichever is sooner.

Retention Period Destroy 7 year(s) after cutoff.

Additional Information

GAO Approval Not Required

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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

electronic format(s) other than e-mail 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 **Non-electronic Textual Records**

Cutoff Instruction 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 e-mail 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
6	Financial Transaction Files	
	Disposition Authority Number	DAA-0564-2013-0004-0006

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 e-mail 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 e-mail 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.

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Additional Information

GAO Approval

Not Required

Agency Certification

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	By	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 Certification	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 Revision	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
09/03/2013	Submit For Certification	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 Concurrence	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
09/11/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services

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