

Request for Records Disposition Authority

Records Schedule Number DAA-0564-2013-0008
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 Agency-wide
Schedule Subject Executive and Senior Management
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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	4	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0564-2013-0008

Sequence Number	
1	Briefing Books
1.1	The official copy Disposition Authority Number: DAA-0564-2013-0008-0001
1.2	All other copies. Disposition Authority Number: DAA-0564-2013-0008-0002
2	Congressional Correspondence Files
2.1	Correspondence of a substantive nature. Disposition Authority Number: DAA-0564-2013-0008-0003
2.2	Correspondence of a routine nature. Disposition Authority Number: DAA-0564-2013-0008-0004
3	Congressional Liaison Files Disposition Authority Number: DAA-0564-2013-0008-0005
4	Press Releases Disposition Authority Number: DAA-0564-2013-0008-0006
5	Speeches (Administrator, Deputy, and Assistant Administrators)
5.1	Record set of final speech text. Disposition Authority Number: DAA-0564-2013-0008-0007
5.2	All other copies Disposition Authority Number: DAA-0564-2013-0008-0008

Records Schedule Items

Sequence Number	
1	<p>Briefing Books Briefing books provided to senior Department of Treasury officials (Assistant Secretaries, Deputy Assistant Secretaries) on important issues prepared by various Departmental offices. Briefing books may contain schedules, agendas, topics of discussion, issue and talking points, biographies, summary and/or position papers. The official copy is the one prepared for the Assistant Secretary and Deputy Assistant Secretary.</p>
1.1	<p>The official copy</p> <p>Disposition Authority Number DAA-0564-2013-0008-0001</p> <p>These are the record copies prepared for the Assistant Secretary and Deputy Assistant Secretary.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>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>Disposition Instruction</p> <p>If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records</p> <p>Cutoff Instruction Cutoff files at the end of the FY.</p> <p>Transfer to Inactive Storage Transfer to the Federal Records Center 10 years after cutoff.</p> <p>Transfer to the National Archives for Accessioning Transfer paper records in 5 year blocks 15 years after cutoff</p> <p>Additional Information</p> <p>First year of records accumulation 2003</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2007</p> <p>How frequently will your agency transfer these records to the National Archives? Every 5 Years</p>

Disposition Instruction

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

Cutoff Instruction **Cut off files at the end of the FY.**

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
Current recordkeeping format is paper.**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

1.2

All other copies.

Disposition Authority Number **DAA-0564-2013-0008-0002**

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 at the end of the FY.**

Retention Period **Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized**

Additional Information

GAO Approval **Not Required**

2

Congressional Correspondence Files

These files contain incoming and outgoing correspondence with members of Congress. Files consist of reports and relevant material relating to TTB's position on Congressional bills and revenue acts.

2.1

Correspondence of a substantive nature.

Disposition Authority Number **DAA-0564-2013-0008-0003**

These files documents substantive Bureau program functions by showing the development of major policies and procedures and requires the signature of the Administrator for TTB and is not included in another permanent record series.

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? **No**

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.**

Transfer to the National Archives for Accessioning **Transfer 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**

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.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff.**

Additional Information

2.2

What will be the date span of the initial transfer of records to the National Archives? Unknown
Current recordkeeping format is paper

How frequently will your agency transfer these records to the National Archives? Every 5 Years

Correspondence of a routine nature.

Disposition Authority Number DAA-0564-2013-0008-0004

These files consist of correspondence with members of Congress that are forwarded to the Office for review and/or reference purposes, but do not require the Administrator's signature.

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 correspondence was received.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

3

Congressional Liaison Files

Disposition Authority Number DAA-0564-2013-0008-0005

These files relate to contacts with individual members of Congress. Records include, but are not limited to, correspondence, memorandums of conversation with Representative or Senator, and other background material.

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

4

GRS or Superseded Authority Citation NC1-436-80-2 Item 28

Disposition Instruction

Cutoff Instruction Cut off file at the end of each Congress.

Retention Period Destroy 4 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Press Releases

Disposition Authority Number DAA-0564-2013-0008-0006

These files contain prepared statements or announcements issued for distribution to the news media and other interested parties concerning TTB and its' regulated industries. The documents include articles and biographies of key bureau personnel.

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? No

GRS or Superseded Authority Citation N1-436-96-2 Item 71a

Disposition Instruction

Cutoff Instruction Cut off file at the end of the FY in which the Executive leaves the bureau.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 15 year(s) 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? Unknown
Date span begins in 2003 and remainder of span is dependent upon the time in which the executive leaves office.

How frequently will your agency transfer these records to the National Archives? Unknown
Depends upon time when executive leaves office.

5 **Speeches (Administrator, Deputy, and Assistant Administrators)**
Files include a final copy of the speech or Congressional testimony, documentation on the group addressed, and the date.

5.1 **Record set of final speech text.**

Disposition Authority Number DAA-0564-2013-0008-0007

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? No

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Cut off files at the end of the FY.

Transfer to the National Archives for Accessioning Transfer records 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

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.

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 Current recordkeeping format is paper
	How frequently will your agency transfer these records to the National Archives?	Every 5 Years
5.2	All other copies	
	Disposition Authority Number	DAA-0564-2013-0008-0008
	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.
	Retention Period	Destroy 5 year(s) after cutoff.
	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
08/05/2013	Certify	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
08/06/2013	Return for Revision	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
08/07/2013	Submit For Certification	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
08/08/2013	Certify	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
09/04/2013	Return for Revision	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
09/04/2013	Submit For Certification	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
09/04/2013	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