

Request for Records Disposition Authority

Records Schedule Number **DAA-0564-2013-0009**
 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 **Permits On-Line (PONL)**
 Internal agency concurrences will be provided **No**

Background Information **Permit On-Line (PONL) is a secure Commercial Off-The-Shelf (COTS) product with the capability for the online submission, workflow routing and processing of Original and Amended applications allowing TTB to authorize applicants to operate alcohol and tobacco related businesses under the Federal Alcohol Administration (FAA) Act and Internal Revenue Code. PONL allow industry members to submit their applications and access their approved permit and/or registration. PONL also provides the internal interface for TTB personnel to perform the workflow activities that support the review, collaboration, approval, and disposition of an Original or Amended submission.**
PONL includes the forms and workflow to support the Original and Amended submission of applications for Alcohol Importers, Wholesalers and Exporters packet, Specially Denatured Spirits (User/Dealer), Spirits for Use by U.S. Government, Tax-Free Alcohol User, Alcohol Fuel Plant, Brewery/Brewpub, Distilled Spirits Plant (Beverage/Industrial), Firearms and Ammunition Tax-Free Sales, Manufacturer of Tobacco Products, Manufacturer of Processed Tobacco, Tobacco Export Warehouse Proprietor, Tobacco Importer application packets, and the Winery/Taxpaid Wine Bottling House forms from the Alcohol Producers and Manufacturers packet.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 2 | 0 | 2 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0564-2013-0009

| Sequence Number | |
|-----------------|---|
| 1 | Master Files |
| 1.1 | Approved Applications. Disposition Authority Number: DAA-0564-2013-0009-0001 |
| 1.2 | Rejected/Disapproved Applications and permits which have been revoked or surrendered with prejudice. Disposition Authority Number: DAA-0564-2013-0009-0002 |

Records Schedule Items

| Sequence Number | |
|-----------------|--|
| 1 | <p>Master Files The PONL master files contain stored data and information for the standard reference which contains composition data used by the applicants/manufacturers in drafting, submitting, and tracking original and amended applications (approved or rejected) to operate alcohol and tobacco businesses, and register to make tax free sales of firearms and ammunition. These files include, but are not limited to, original application for permit, amendments, powers of attorney for individual proprietorships, and related correspondence.</p> |
| 1.1 | <p>Approved Applications.</p> <p>Disposition Authority Number DAA-0564-2013-0009-0001</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Electronic records</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation NC1-436-77-2, Item 111a (for TTB records only)</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off files at the end of CY in which business is discontinued.</p> <p>Retention Period Destroy 15 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 1.2 | <p>Rejected/Disapproved Applications and permits which have been revoked or surrendered with prejudice.</p> <p>Disposition Authority Number DAA-0564-2013-0009-0002</p> <p>Final Disposition Temporary</p> |

| | |
|---|---|
| Item Status | Active |
| Is this item media neutral? | No |
| Explanation of limitation | Electronic Records |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes |
| Do any of the records covered by this item exist as structured electronic data? | Yes |
| GRS or Superseded Authority Citation | NC1-436-77-2, Item 111b and 111c (for TTB records only) |
| Disposition Instruction | |
| Cutoff Instruction | Cut off files at the end of CY in which application is disapproved or permit is revoked or surrendered. |
| 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 |
|------------|------------------------|------------------|--|---|
| 08/08/2013 | Certify | Quinton Mason | Records Officer | HQ Operations - Rulings and Regulations Division |
| 07/02/2014 | Submit for Concurrency | Jametta Davis | Appraiser | National Archives and Records Administration - Records Management Services |
| 07/07/2014 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 07/08/2014 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 07/09/2014 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |