

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO National Archives and Records Administration (NWML) 8601 Adelphi Road, College Park, MD 20740-6001		JOB NUMBER <i>NI-564-09-1</i>	
1 FROM (Agency or establishment) Department of the Treasury		DATE RECEIVED <i>5/12/09</i>	
2 MAJOR SUBDIVISION Alcohol and Tobacco Tax and Trade Bureau		In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Office of Field Operations			
4 NAME OF PERSON WITH WHOM TO CONFER Gregory P. Harrod, Sr.	5 TELEPHONE 202-927-1620	DATE <i>10-26-09</i>	ARCHIVIST OF THE UNITED STATES <i>Adrian Thomas</i>
5 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 on the attached <u>2</u> pages(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  <input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>05/06/09</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Darlan M Pearson</i>		TITLE Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See Attachment		

## Auto Audit

The Tax Audit Division is responsible for auditing taxpayers for compliance with the Internal Revenue Code and other laws and regulations. The staff plans, coordinates, and conducts audits of taxpayers. The Trade Investigations Division (TID) is comprised of investigators who ensure industry compliance with the laws and regulations administered by the Alcohol and Tobacco Tax and Trade Bureau (TTB). This division provides assistance and advice concerning the provisions of the Federal Alcohol Administration Act, the Internal Revenue Code, and all related regulations to Bureau employees, other Federal and State agencies, members of the alcohol and tobacco industries, and the general public.

**System Description:** The Auto Audit system is the primary tool used by Alcohol and Tobacco Tax and Trade Bureau (TTB) auditors and investigators to document procedures, results, time scheduling, and industry member information related to the investigations and audits conducted by TTB field offices. The Auto Audit system is used by auditors and investigators to manage case files. Audits and investigations are completed at the premises regulated by TTB.

### 1. **Inputs:**

The system inputs include, but are not limited to.

- a. Audit and investigation work papers.
- b. Any information used to support the objectives and results of audits and investigations.
- c. Information provided by the industry member audited and/or investigated (including, but not limited to, invoices, bills of lading, export documentation, import documentation, inventory records, permit applications, formulas, and any pertinent financial or operating information that supports the audit or investigation).
- d. Information obtained from other Bureau databases and tax returns.
- e. Monthly reports of operations.
- f. Certificate of label approvals.
- g. Approved formulas.
- h. Prior investigation/audit results.
- i. Adverse action documentation.

#### **Disposition: TEMPORARY.**

- i. Hardcopy Records – In accordance with GRS 20, Item 2a(4)
- ii. Electronic Records – In accordance with GRS 20, Item 2b

### 2. **Master Files:**

The system data/master files contain, but are not limited to

- a. Audit and investigation work papers.
- b. Any information used to support the objectives and results of audits and investigations, including, but not limited to: invoices, bills of lading, export documentation, import documentation, inventory records, permit applications, formulas, and any pertinent financial or operating information that supports the audit or investigation.
- c. Information obtained from other Bureau databases and tax returns.
- d. Monthly reports of operations.
- e. Certificate of label approvals.
- f. Approved formulas.
- g. Prior investigation/audit results.
- h. Adverse action documentation.

#### **Disposition: TEMPORARY.**

Cutoff when the final entry is entered into the product case file. Destroy 10 years after the final entry is made in the case file or when the Bureau determines the records are no longer needed for administrative, legal, audit or other operational purposes whichever is later.

3. **Outputs:**

These records include, but are not limited to the results of audits and investigations. Outputs are normally not generated from this system unless research is being conducted by auditors or investigators. For such operational purposes, the outputs are managed under the following authorities

**Disposition: TEMPORARY.**

In accordance with GRS 20, Items 12, 13, 15 and 16, as applicable.

(Note. In those cases where the output records exceed the authorities listed for this series, the records are scheduled under other authorities )

4. **System Documentation:**

Codebooks, records layout, user guide, and other related materials

**Disposition TEMPORARY.**

In accordance with GRS 20, Item 11a(1).