

| REQUEST FOR RECORDS DISPOSITION AUTHORITY<br>(See Instructions on reverse)  |  | LEAVE BLANK (NARA use only)   |  |
|---|--|---|--|
| TO National Archives and Records Administration (NWML)<br>8601 Adelphi Road, College Park, MD 20740-6001  |  | JOB NUMBER<br><i>N1-564-09-12</i>   |  |
| 1 FROM (Agency or establishment)<br>Department of the Treasury  |  | DATE RECEIVED<br><i>5/13/09</i>   |  |
| 2 MAJOR SUBDIVISION<br>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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10 |  |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<br>Headquarters Operations  |  |   |  |
| 4 NAME OF PERSON WITH WHOM TO CONFER<br><br>Gregory P. Harrod, Sr.  | 5 TELEPHONE<br><br>202-927-1620                                | DATE<br><i>9/29/09</i>  | ARCHIVIST OF THE UNITED STATES<br><i>Adrienne Thomas</i> |
| 5 AGENCY CERTIFICATION<br><br>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,<br><br><input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested |  |   |  |
| DATE<br><i>05/06/09</i>   | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Barbara M Pearson</i> |   | TITLE<br>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| 7 ITEM NO   | 8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION                  | 9 GRS OR SUPERSEDED JOB CITATION  | 10 ACTION TAKEN (NARA USE ONLY)                          |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   | N1-436-95-1,<br>Item 1  |  |

## COLA's (Certificate of Label Approval) Online

### The Advertising, Labeling and Formulation Division (ALFD) is Divided into Four Offices:

#### Formulation, Malt Beverage & Distilled Spirits Office:

Reviews domestic and imported alcohol beverage formulations and issues formulas, statements of process, laboratory analyses and pre-import letters, label applications; issues certificates of label approval; comments on proposed (informal) labels for malt beverage and distilled spirits products.

#### Wine Labeling Office:

Reviews label applications, issues certificates of label approval, comments on proposed (informal) labels for wine products.

#### Market Compliance Office:

Monitors alcohol beverages in the marketplace, responds to consumer complaints, ensures alcohol beverage advertisements comply with the FAA Act and regulations. Assists Field Operations with FAA Act Investigations.

#### Information Technology Office:

Provides administrative, information technology and management support to ALFD personnel and technical services to the alcohol beverage industry members and representatives.

**Description:** COLAs Online is a Web-based application that facilitates and improves the submission and review process for alcohol beverage labels (TTB Form 5100.31, OMB Number 1513-0020) by providing an expedient and paperless means of obtaining Federal label approval. A certificate of label approval authorizes the certificate holder to bottle and remove or import alcohol beverages that bear labels identical to those shown on the certificate of label approval. COLAs Online is an authenticated system requiring username and password that provides a Web-based interface that facilitates the process for industry members to submit electronic applications for COLAs, and interfaces with another strategic system, Integrated Revenue Information System (IRIS), for permit, registry, and other authorized data. In addition, COLAs Online serves as the sole internal database for TTB's Advertising, Labeling and Formulation Division (ALFD) to track all work related documentation, including all COLA submissions received for approval either in hard or soft copy. The public module of the COLAs Online System does not require a username and password. As required by the Freedom of Information Act (FOIA), it contains details of only Approved, Expired, Surrendered or Revoked COLAs for viewing by the general public, as well as a printable version of the COLA, if available.

### 1. **Inputs:**

GRS 20  
Include but are not limited to: Application for and Certificate/Exemption of Label/Bottle Approval (TTB Form 5100.31) and designated as either (1) Approved Applications [N1-436-01-1/Item 1a(1)] or (2) Rejected Applications [N1-436-01-1, Item 1a(2)] and associated correspondence submitted by industry members.

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

- A. Paper – [In accordance with GRS 20, Items 3a and 3b(4)]
- B. Electronic – [In accordance with GRS 20, Item 2b]

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

Contains submission applications for label approval or COLAs. The system includes data fields that mirror the hard copy of TTB Form 5100.31 that have been submitted by industry members from 1998 to the present.

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

- A. ~~Approved Applications [In accordance with N1-436-01-1, Item 1a(1)] & GRS 20, Item 3b(4)~~
- B. ~~Rejected Applications [In accordance with N1-436-01-1, Item 1a(2)] & GRS 20, Item 3b(4)~~

- A. Approved Applications  
Disposition Temporary. Cutoff at end of calendar year. Destroy when 25 yrs. old.
- B. Rejected Applications  
Disposition Temporary. Cutoff at end of calendar year in which the application was denied. Destroy 7 years after final agency action denying the application.

3. **Outputs:**

GRS 20 Statistical reports occur on a monthly and ad hoc basis. Performance measure data is output on a quarterly basis.

**Disposition: TEMPORARY.**

In accordance with GRS 20, Item 6 and Item 16

4. **System Documentation:**

GRS 20 Codebooks, records layout, user guide, and other related materials.

**Disposition: TEMPORARY.**

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