

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

TO **GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Treasury Department

2. MAJOR SUBDIVISION
Bureau of Alcohol, Tobacco & Firearms

3. MINOR SUBDIVISION
Information Management Division

4. NAME OF PERSON WITH WHOM TO CONFER
Jack O'Leary

5. TEL. EXT.
177-7077
7927

6. CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK	
DATE RECEIVED JUN 11 1975	JOB NO NC - 486-75-2
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-drawn" in column 10	
(Date)	Archivist of the United States

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 40 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

JUNE 9, 1975

Date

John Henderson Jr.
(Signature of Agency Representative)

Chief, Information Management Div.

(Title)

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>The records described below are created and accumulated in the Headquarters office of the Bureau of Alcohol, Tobacco and Firearms. The items show proposed changes in some established retention period, re-described items and new items.</p> <p align="center">WITHDRAWN</p>		
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Copy to Agency 9-23-76

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention period-)	9. SAMPLE OF JOB NO.	10. ACTION TAKE.
1.	<p>Historical Administration and Organization records containing reports, correspondence, and related papers documenting the over-all mission of the Bureau and which provide background, or program continuity, to the policies, procedures, and accomplishments of the Bureau. These materials include a record set of charts covering the organization and staffing of the Bureau.</p> <p>PERMANENT RECORDS RETIRE to Federal Records Center after 10 years. TRANSFER to National Archives after 50 years.</p>		
2.	<p>General Administrative Management Files - These files contain correspondence, reports, studies, surveys and related documents pertaining to the general house-keeping or facilitative functions involved in the over-all administration and operation of Headquarters organizational components.</p> <p>DISPOSE after 3 years, or when no longer needed in current operations, whichever is earlier.</p>	<p>NN-164-20 Item 1</p>	
3.	<p>Reports to Destinations Outside the Bureau. These files contain copies of reports prepared in response to requests from outside the Bureau. The information in the reports is found in other records and reports in the Bureau.</p> <p>DISPOSE after 2 years.</p>	<p>NN-164-20 Item 13</p>	
4.	<p>Office Orders (issued prior to 7/1/72) - These are instructions, issued by the Director, having application to all headquarters offices of the Bureau.</p> <p>(a) Record set DISPOSE after 10 years.</p> <p>(b) All others DISPOSE when obsolete or superseded, or no longer needed for administrative purposes.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN.
5.	<p>Supply and Equipment General Subject Files - These files contain studies and reports of supply and equipment needs, capacities, etc., and related records.</p> <p>DISPOSE after 1 year.</p>	<p>NN-164-20 Item 8</p>	
6.	<p>Internal Management Document file, including a record set of each information notice, Manual Transmittal or order, manual supplement or notice, publication, or policy statement and associated data, relating to Bureau administrative, organizational and statistical matters.</p> <p>PERMANENT RECORDS.</p> <p>RETIRE to Federal Records Center after 10 years.</p> <p>TRANSFER to National Archives after 50 years.</p>		
7.	<p>Working papers that are not needed for reference after preparation of related documents in final form, such as tabulations; preliminary drafts of reports, internal management documents, proposed changes in laws or regulations; and similar preliminary or backup material. Among these records are extra copies of organizational and personnel charts, reports, documents, or other materials that are maintained solely for reference. (NOTE: This item excludes background materials which contribute to an understanding of or provide an explanation for completed documents, and which are covered by other items on this schedule.)</p> <p>DISPOSE on publication or completion of related document or when no longer needed for administrative purposes.</p>		
8.	<p>General Industry and Regional Correspondence Files - This file contains correspondence of a general nature relating to Bureau matters, from the Director or members of his immediate staff with industry members or representatives and with regional offices.</p> <p>DISPOSE after 5 years.</p>	<p>NN-164-20 Item 2</p>	

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN.
9.	<p>Alcohol Tax Survey Committee Records - These records include reports, releases, correspondence, studies, and related data, documenting the activities of the Alcohol Tax Survey Committee. (NOTE: These records are no longer accumulating.)</p> <p>DISPOSE after 10 years.</p>		
10.	<p>Law Revision File - This file contains special studies, recommendations, reports, and related data, documenting the activities of the committees assigned to develop proposals for revision of the laws administered by the Bureau.</p> <p>PERMANENT RECORDS.</p> <p>RETIRE to Federal Records Center after 10 years.</p> <p>TRANSFER to National Archives after 5 years.</p>		
11.	<p>Training Text and Instructor Guide - These files contain training texts and instructor guides prepared in Headquarters, covering various Bureau activities and functions, and related papers.</p> <p>(a) Record Copy</p> <p>DISPOSE after 10 years.</p> <p>(b) All others</p> <p>DISPOSE when superseded or obsolete or no longer needed for administrative purpose.</p>		
12.	<p>General Training File - These files contain student guides, reports, records of participants, and related papers and correspondence.</p> <p>(a) Student guides</p> <p>DISPOSE when superseded or obsolete or when no longer needed for administrative purposes.</p> <p>(b) All others</p> <p>DISPOSE after 5 years.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
13.	<p>Seized Personal Property Reports - These are reports from field offices covering seizures. The following forms or equivalent forms are included in the file series: Form 1850.1, Report of Property Awaiting Disposition; Form 1850.2, Report of Destruction; Form 1850.3, Report of Property Subject to Judicial Forfeiture; Form 1850.4, Receipt for Tax Paid Liquor and/or Wine; Form 1850.8, Seized Property Remittances for Deposit; Form 1570, Declaration of Forfeiture; Form 1563, Report of Forfeited Distilled Spirits, Wines or Beer Available for Distribution by Federal Supply Services; Form 1565, Report of Disposition of Distilled Spirits, Wines or Beer; and Form 1548, Quarterly Report of Forfeited Property Transferred to Bureau of Prisons. Also included in this file series are reports of applicants to courts, reports of court orders covering dispositions of seized or forfeited property, and related reports and correspondence.</p> <p>DISPOSE 3 years after property item is removed from legal custody of the Bureau of Alcohol, Tobacco and Firearms.</p>		
14.	<p>Disposition of Seized Property Reports - These files contain reports on Form 3192, Disposition of Seized Property, or equivalent forms.</p> <p>DISPOSE after 5 years.</p>		
15.	<p>Forfeited Firearms Reports File - This file contains reports on Form 2550, Quarterly Report Forfeited Firearms Retained for Official Use and/or Destroyed or equivalent, and related correspondence.</p> <p>DISPOSE after 2 years.</p>	<p>NN-164-20 Item 32</p>	
16.	<p>Consolidated Reports of Inspection Activities - These are consolidated reports of inspection activities and represent statistics compiled by headquarters from information reported on Form 5020.1, Monthly Operations Report, and Form 5020.2, Quarterly Operations Report, or equivalent forms.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB I.D.	10. ACTION TAKEN
?	<p>A. Historical record copy maintained in the Information Management Division.</p> <p>DISPOSE after 10 years.</p> <p>B. Copies distributed to Bureau activities (RE, CE, etc.)</p> <p>DISPOSE after 3 years.</p>		
17.	<p>Regional Monthly Operations Report - These are monthly reports from regional offices on Form 5020.1, or equivalent, covering inspections and firearms and explosives activities. Reference material contained in reports is used in program planning and control of the inspections activities.</p> <p>A. Historical record copy maintained in the Information Management Division.</p> <p>DISPOSE after 10 years.</p> <p>B. Copies distributed to Bureau activities (RE, CE, etc.)</p> <p>DISPOSE after 3 years.</p>		
18.	<p>Regional Quarterly Operations Report - These are quarterly reports from regional offices on Form 5020.2 or equivalent, covering inspections, firearms and explosives activities and action on violations. These reports contain reference material which is used in program planning and control.</p> <p>A. Historical record copy maintained in the Information Management Division.</p> <p>DISPOSE after 10 years.</p> <p>B. Other copies</p> <p>DISPOSE after 3 years</p>		

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
19.	<p>Semi-annual Statistical Reports - This is a semi-annual report from regional offices, submitted on Form 2302, Regional Semi-annual Operations Report, or equivalent form.</p> <p>(a) Historical record copy maintained in the Information Management Division.</p> <p>DISPOSE after 10 years.</p> <p>(b) Other copies</p> <p>DISPOSE after 3 years.</p>		
20.	<p>Annual Statistical Reports - These are annual reports from regional offices containing data submitted on the following forms, or equivalent forms, Form 2306, Annual Statistical Report - Establishments, Winery Materials, Denatured Alcohol and Rum, and Tobacco, and Form 2307, Annual Statistical Report- Permits and Claims.</p> <p>(a) Historical copy maintained in the Information Management Division.</p> <p>DISPOSE after 10 years.</p> <p>(b) All others</p> <p>DISPOSE after 3 years</p>		
21.	<p>Annual Reports of Spirits in Warehouses - These are annual reports and related correspondence from Regional offices submitted on the following form or equivalent; Form 332, Statement by Kinds, Seasons and Years of Production of Spirits in Bonded Warehouses.</p> <p>(a) Historical copy maintained in the Information Management Division.</p> <p>DISPOSE after 10 years.</p> <p>(b) Other copies</p> <p>DISPOSE after 3 years.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN.
22.	<p>Monthly Reports of Establishments Operations - These are reports from regional offices covering operations at various types of establishments, not covered by other items of this schedule.</p> <p>(a) Historical record copy maintained in the Information Management Division.</p> <p>DISPOSE after 10 years.</p> <p>(b) All others</p> <p>DISPOSE after 3 years.</p>		
23.	<p>Quarterly Statistical Reports of Strip Stamps - These are quarterly reports from regional offices on Form 2033, Quarterly Statistical Reports of Strip Stamps used on containers of Distilled Spirits for Domestic Consumption, or equivalent.</p> <p>(a) Historical record copy maintained in the Information Management Division.</p> <p>DISPOSE after 10 years</p> <p>(b) All others</p> <p>DISPOSE after 3 years</p>		
24.	<p>Semi-annual Reports of Spirits Mingled - These are semi-annual reports from regional offices on Form 2546, Report of Spirits Mingled Under Section 5234(a)(2), I.R.C., or equivalent.</p> <p>(a) Record copy</p> <p>DISPOSE after 10 years</p> <p>(b) All others</p> <p>DISPOSE when no longer needed for reference.</p>		

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7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
25.	<p>Quarterly Reports on Major Violations and Raw Materials Programs - These are quarterly enforcement reports from regional offices on the following forms, or equivalent forms: Form 3268, Quarterly Report of Major Violations Program; and Form 3283, Quarterly Raw Materials Program Report.</p> <p>DISPOSE after 2 years.</p>		
26. ?	<p>Periodic Narrative Reports - These are informal reports prepared periodically by regional offices, covering activities, accomplishments, and problems in the region.</p> <p>DISPOSE after 1 year.</p>	<p>NN-164-20 Item 20</p>	
27.	<p>Monthly and Other Periodic Reports (Criminal Enforcement) - These are reports from field offices on the following forms, or equivalent: Form 1572 (Sheet 1), Monthly Report of Distillery and Liquor Seizures; Form 1572 (Sheet 2), Quarterly Report of Property Seized; Form 1573, Monthly Report of Seizures and Arrests; and Form 1575, (Sheet 1 and 2) Quarterly Report of Indictments, Trials and Cases.</p> <p>(a) Historical record copy maintained in the Information Management Division</p> <p>DISPOSE after 10 years</p> <p>(b) Other copies</p> <p>DISPOSE after 2 years.</p>		
28.	<p>Statistical Posting Books - These are record books containing statistical data compiled, primarily, from the statistical reports received from regional offices covering permissive and enforcement activities. Statistics posted in these books form the basis for most of the statistical releases and reports of the Bureau including the annual release relating to alcohol and tobacco.</p> <p>PERMANENT records.</p> <p>RETIRE to Federal Records Center after 10 years.</p> <p>TRANSFER to National Archives after 50 years.</p>		

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OF JOB NO.	10. ACTION TAKEN
29.	<p>Statistical Compilation Files - These files contain copies of releases, reports, tables, special studies, and surveys, compiled in headquarters.</p> <p>(a) Record copy</p> <p>PERMANENT RECORDS</p> <p>RETIRE to Federal Records Center after 10 years.</p> <p>TRANSFER to National Archives after 50 years</p> <p>(b) Annual releases (other than record copy)</p> <p>DISPOSE after 5 years</p> <p>(c) All others (other than copies noted in a. and b. above)</p> <p>DISPOSE after 3 years</p>		
30.	<p>Statistical Work Sheets - These are worksheets used in preparing the statistical releases and reports referred to in item 28.</p> <p>DISPOSE after 2 years</p>		
31.	<p>Correspondence Relating to Statistical Data - This is correspondence with regional offices, industry members, and others, regarding statistical matters.</p> <p>(a) Correspondence relating to changes or corrections in reports and other correspondence of a routine nature.</p> <p>DISPOSE after 1 year</p> <p>(b) All other</p> <p>DISPOSE after 3 years</p>		

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
32.	<p>Statistical Mailing Lists - These are card reports containing names and addresses of persons to whom various statistical releases are to be mailed.</p> <p>DISPOSE of individual card when obsolete or superseded.</p>	<p>NN-164-20 Item 40</p>	
33.	<p>Emergency Relocation Files - These files contain copies of Form 2254, Plant Capacities, or equivalent reports, and other data submitted by regions and Headquarters components for storage in emergency relocation centers.</p> <p>DISPOSE of when superseded, or obsolete data can be replaced by current data, or when no longer needed for reference.</p>	<p>NN-164-20 Item 9</p>	
34.	<p>Forms Files - This file contains a record copy of each revision of a form, requisitions for issuance, revision or reprint of a form, and correspondence and other data relating to the form.</p> <p>PERMANENT RECORDS</p> <p>RETIRE to Federal Records Center after 10 years</p> <p>TRANSFER to National Archives after 50 years.</p>		
35.	<p>Wire service control and operational records.</p> <p>(a) Copies of out going messages maintained by the communications center</p> <p>DISPOSE after 1 year.</p> <p>(b) Copies of out going messages maintained by originating offices</p> <p>DISPOSE after 2 years</p> <p>(c) Message logs maintained by the communications center</p> <p>DISPOSE after 3 years</p>		

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
36.	<p>Procurement records. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment.</p> <p>(a) Transaction of more than \$10,000. DISPOSE 6 years after final payment.</p> <p>(b) Transactions of \$10,00 or less DISPOSE 3 years after final payment.</p>		
37.	<p>Records disposition files, including descriptive inventories, disposal authorizations, schedules for the retirement of records, and correspondence or memoranda relating to revisions.</p> <p>PERMANENT records RETIRE to Federal Records Center after 25 years TRANSFER to National Archives after 50 years</p>		
38.	<p>Vital Records - These files contain reports of the Bureau emergency preparedness program on USA Forms 2034 and 2035, and related documents.</p> <p>DISPOSE when superseded or obsolete. (NOTE: Items 39-44 relate to Personnel Records Not covered by the General Records Schedules).</p>		
39.	<p>Character - Background Case File</p> <p>(a) All case files except those covered by b,c, and d below. DISPOSE 5 years after case is closed.</p> <p>(b) Employee notice to proposed adverse action, with opportunity to reply, and notice of final decision. CONVERT to an adverse action case file (Item 41).</p>		

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OF JOB NO.	10. ACTION TAKEN
40.	<p>(c) Records of employee suit in a U.S. court. DISPOSE 5 years after court action is complete.</p> <p>(d) Cases of continuing interest DISPOSE 5 years after date of last document in file.</p> <p>Conduct Case File</p> <p>(a) All case files except those covered by b,c, and d below. DISPOSE 7 years after case is closed.</p> <p>(b) Adverse Action records (including a suspension of 30 days or less) CONVERT to an adverse action case file (Item 41).</p> <p>(c) Employee Appeals (within the Department on an action less than suspension, or files suit in a U.S. District Court) DISPOSE 7 years after appellate or judicial action is completed.</p> <p>(d) Cases of continuing interest. DISPOSE 7 years after date of last document in file.</p>		
41.	<p>Adverse Action Case File</p> <p>(a) All case files except those covered by b and c below DISPOSE 7 years after case is closed.</p> <p>(b) Employee appeals of adverse action (in- cluding separation of a probationer for pre-em- ployment reasons, and suspension of a nonprobationer for 30 days or less). CONVERT to an Employee Appeal File (Item 42).</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	(c) Cases of continuing interest		
	DISPOSE 7 years after date of last document in file.		
42.	Employee Appeal File		
	DISPOSE 25 years after appellate or judicial action is completed.		
	RETIRE Inactive File to Federal Records Center 5 years after date of last document in file.		
43.	Grievance Appeal File		
	DISPOSE 7 years after case is closed.		
	RETIRE inactive file to Federal Records Center 2 years after date of last document in file.		
44.	Transcripts of Grievance and Employee Appeal Hearings		
	DISPOSE upon completion of all appellate or judicial action.		
45.	Complete set of formal informational releases and publications, such as press releases, press conference transcripts, official speeches and other historical public affairs material.		
	PERMANENT RECORDS		
	RETIRE to Federal Records Center after 10 years		
	TRANSFER TO National Archives after 50years.		
46.	Press Clippings		
	DISPOSE after 3 years		

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
47.	<p>Correspondence files of the budget office showing Bureau policy and procedures governing budget administration, and policy decisions affecting expenditures for Bureau programs.</p> <p>PERMANENT RECORDS</p> <p>Retire to Federal Records Center after <u>10</u> years.</p> <p>Transfer to National Archives after <u>50</u> years.</p>		
48.	<p>File copies of budget estimates prepared or consolidated in the budget office comprising appropriation language sheets, narrative statements, and related schedules and data.</p> <p>PERMANENT RECORDS</p> <p>Retire to Federal Records Center after 10 years.</p> <p>Transfer to National Archives after 50 years.</p>		

NOTE: Items 49 and 50 are reserved for future additions.

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<u>CRIMINAL ENFORCEMENT RECORDS</u>		
51.	<p>Criminal Enforcement General Correspondence File - This contains correspondence with regional offices, other Government agencies, and the general public. Data in the file pertain to enforcement activities, and document the programs and operations of the Office of Criminal Enforcement. Information is included on investigation of violations of the Federal Liquor Laws, the Gun Control Act of 1968, the Explosives Control Act of 1970, and the Federal Wagering Laws. The records include memorandums and other papers relating to such correspondence. (Note: This item excludes Criminal Enforcement routine correspondence.)</p> <p>PERMANENT RECORDS.</p> <p>RETIRE to Federal Records Center after 6 years.</p> <p>TRANSFER to National Archives after 6 years.</p>		
52.	<p>Correspondence Index - These are card records filed by subjects covering correspondence described in Item 46.</p> <p>PERMANENT RECORDS</p> <p>TRANSFER to National Archives after 50 years.</p>		
53.	<p>Criminal Case File - This file contains cases originating in, and submitted by the regions. The records cover violations of the Federal Liquor Laws, The Gun Control Act of 1968, the Explosives Control Act of 1970, and the Federal Wagering Laws. The files include Form 1551, Progress Record of Case, Parole Report, and related data. (Note: The copy retained in the Regional Office is the record copy.)</p> <p>DISPOSE of closed cases after 1 year.</p>	NC-436-75-1	

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OF JOB NO.	10. ACTION TAKEN
54.	<p>Index to Criminal Case File - This is an index card and/or entry into a computerized data base of the files described in item/53.</p> <p>DISPOSE after 50 years.</p>		
55.	<p>Law Evaluation Historical File - This file contains copies of correspondence, graphic charts, photographs, and other related material involved in the evaluation of the Federal Liquor Laws, the Gun Control Act of 1968, the Explosives Control Act of 1970, and the Federal Wagering Laws and Tobacco Tax Laws.</p> <p>PERMANENT RECORDS.</p> <p>RETIRE to Federal Records Center after 10 years.</p> <p>TRANSFER to National Archives after 4 years.</p>		
56.	<p>Killings and Assault File - This file consists of correspondence, reports, and related papers, pertaining to killings, woundings, injuries, etc., of special agents, police officers, violators, civilians, etc., during the usual course of enforcement investigations.</p> <p>PERMANENT RECORDS.</p> <p>TRANSFER to National Archives after 75 years.</p>		
57.	<p>Criminal Enforcement Routine Correspondence File - This file contains correspondence of a routine nature with Regional Directors, members of Congress, producers, distributors, attorneys or other Government agencies, trade associations, and others.</p> <p>DISPOSE after 5 years.</p>		
58.	<p>National Firearms Registration and Transfer Record - The following forms, or equivalent forms, relate to firearms for which approval for possession, registration or transfer must be obtained: ATF Form 1, Application to Make and Register a Firearm; ATF Form 2, Notice of Firearms Manufactured or Imported; ATF Form 3, Application for Tax-exempt Transfer of Firearms and</p>	<p>NN-164-20 Item 28</p>	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Registration to Special (Occupational) Taxpayer; ATF Form 4, Application for Transfer and Registration of Firearm; ATF Form 5, Application for Tax-exempt Transfer and Registration of Firearm; ATF Form 10, Application for Registration of Firearms Acquired by Certain Government Entities; ATF Form 106, Authorization for Transportation of National Firearms Act Weapons in Interstate and Temporary Export; ATF Form 4467, Registration of Certain Firearms During November 1968; and ATF Form 4539, Identification of Transfer or Maker of Firearms, or equivalent forms.</p> <p>DISPOSAL NOT AUTHORIZED at this time. Review after 25 years.</p>		
59.	<p>File Search Request and Reply Forms - These are requests for searches, or replies to such requests, of the National Firearms Registration and Transfer Record. Form 4637, Firearm Record Search Certificate; Form 74, Certificate of Records Check by ATF Coordinator; Form 75, Certificate of Identity of Office Having Custody and Control of Firearms Registration Records; Form 76, Certification of Annexed Documents, or equivalent forms.</p> <p>(a) Form 4637, or TWX</p> <p>DISPOSE after 1 year.</p> <p>(b) All others</p> <p>DISPOSE after disposition of case.</p>	NN-164-20 Item 29	
60.	<p>Exportation Records. Form 9, Application and Permit for Exportation of Firearms, or equivalent form.</p> <p>DISPOSAL NOT AUTHORIZED at this time. Review after 25 years.</p>	NN-164-20 Item 30	
61.	<p>Importation Records. Form 6, Part I, Application and Permit for Importation of Firearms, Ammunition and Implements of War; Form 6 Part II, Application and Permit for Importation of Firearms, Ammunition and Implements of War. (For Use by members of Armed Forces); Form 6A, Release and Receipt of Imported Firearms, Ammunition, and Implements of War; and Form 4587, Application to Register as Importer of U.S. Munitions Import List Articles; or equivalent forms.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	DISPOSAL NOT AUTHORIZED at this time. Review after 25 years.		
62.	Firearms Control Card File - This file consists of control card Form 704M and M-3153, National Firearms Registration and Transfer Record, or equivalent forms. DISPOSAL NOT AUTHORIZED at this time. Review after 25 years.	NN-164-20 Item 31	
63.	Firearms Subject and Filing Files - These files contain papers which describe the administration and application of, and procedural instructions involved in the entire firearms control program. (Note: Historical or record copies are covered in Item 63). DISPOSE after 15 years.	NN-164-20 Item 34	
64.	Special Tax Payer Record Files - These files contain records pertaining to payment of tax by Special Occupational Taxpayers who deal in NFA firearms; photo copy of the taxpayers FFL, ATF Form 11, Special Tax Return and/or ATF Forms 7590.1, 7590.2, and 7590.3, or equivalent forms. DISPOSE after 15 years.	NN-164-20 Item 33	
65.	Statistical Compilation of Firearms Produced and Exported. This record is compiled from information received on ATF Form 4483, Quarterly Firearms Manufacturing and Exportation Report, or equivalent forms. PERMANENT RECORDS. RETIRE to Federal Records Center after 25 years. TRANSFER to National Archives after 50 years.		
66.	Statistical Compilation of Firearms Imported. This record is compiled from information received on ATF Form 4531, Quarterly Report of Imported Firearms, or equivalent form. PERMANENT RECORDS. RETIRE to Federal Records Center after 25 years. TRANSFER to National Archives after 50 years.		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
67.	Firearms Trace Request - Request made on ATF Form 5000 or ATF Form 7520.5, or equivalent forms. DISPOSE after 3 years.		
68.	Explosives (a) ATF Form 4761, Explosive Investigation Report or equivalent form. DISPOSAL NOT AUTHORIZED at this time. Review after 25 years. (b) ATF Form 7030.1 Request for Tracing Explosives. DISPOSE after 3 years.		
69.	Petition for Relief from Disability Files - These files contain reports on individual applicants for "Relief from Disability pursuant to Section 935 (c), Title 18, United States Code." (a) Granted Cases DISPOSE after 5 years. (b) Denied Cases DISPOSE after 10 years.		
70.	Firearms Transaction Records - These are records on Form 4473 (Parts I and II), used to record firearms sales by federally licensed firearms dealers. DISPOSAL NOT AUTHORIZED at this time. Review after 25 years.		
	71 thru 74 are reserved for future additions		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OF JOB NO.	10. ESTIMATED DATE
REGULATORY ENFORCEMENT RECORDS			
75.	<p>Regulatory Enforcement Correspondence Files - This file contains correspondence of a general nature (with regional offices and others) concerning regulatory enforcement activities and functions, and related reports, memorandums, and other documents, including the subject files of controversial issues. Data in this file is of continuing research value, since it documents regulatory enforcement programs and operations of the Bureau. (Note: This item excludes correspondence specifically covered in other items of this schedule, such as correspondence or copies of correspondence covered by items 83, 86, 91, 94, 97, and 115, and other items of a specific nature such as those relating to establishments and permits which include correspondence.)</p> <p>Permanent record, transfer to federal records center after 10 years. Transfer to National Archives after 20 years.</p>		
76.	<p>Offers in Compromise File - This file contains offers in compromise acted on in Headquarters, abstracts, and statements, financial statements, appraisal lists, and other related papers and correspondence. The following forms, or equivalent forms are included in the file: Form 656, Offer in Compromise; Form 656D, Offer in Compromise of Liability Incurred Under Federal Alcohol Administration Act, as amended; and Form 656 E, Offer in Compromise of Liability to Forfeiture of Seized Personal Property.</p> <p>DISPOSE 5 years after close of case.</p>		
77.	<p>Basic Establishment Files (Liquor) - These files relate to certain establishments qualified under Chapter 51, Internal Revenue Code. They include, as applicable, Headquarters copies of qualifying documents (other than plats and plans which are described in item 78 of this schedule); special applications; formulas on Form 27-B Supplemental, Formula and Process for Rectified Products, and Form 698 Supplemental, Formula and Process for Wine, or equivalent forms; other documents, forms, and related correspondence. This item includes Headquarters copies of basic permits issued under the</p>	<p>NN-164-20 Item 14</p>	

WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Federal Alcohol Administration Act to certain distilled spirits plants and bonded wine cellar proprietors. The complete file of basic records is maintained in regional offices.</p> <p>a. Premises requalified as of July 1, 1959. DISPOSE 5 years after requalification.</p> <p>b. All others DISPOSE 5 years after discontinuance of business.</p>		
78.	<p>Plats and Plans File (Liquors) - This file contains copies of plats and plans covering establishments qualified under Chapter 51, Internal Revenue Code (where copies of such documents are received in Headquarters. Basic plat and plan files are maintained in regional offices.</p> <p>DISPOSE 1 year after discontinuance of business, or 1 year after the plat and plan is superseded.</p>	NN-164-85 Item 1	
79.	<p>United States Tax-Free Alcohol Permits - These are copies of permits on Form 1444, Tax-Free Permits for Use of United States, or equivalent, issued to the United States or a Government agency for the procurement of alcohol free of tax, related correspondence, and surrendered permits.</p> <p>DISPOSE 2 years after surrender of permit.</p>		
80.	<p>United States Specially Denatured Spirits Permits - These are copies of permits on Form 1486, Specially Denatured Spirits for Use of United States, or equivalent, issued to the United States or a Government agency for the procurement of specially denatured spirits, related correspondence, and surrendered permits.</p> <p>DISPOSE 2 years after surrender of permit.</p>		
81.	<p>Lists of Industry Establishments - These are lists, prepared annually, of establishments authorized to operate. They include lists of distilled spirits plants, bonded wine cellars, vinegar factories using the vaporizing process, volatile fruit-flavor concentrate plants, tax-paid wine bottling houses, and breweries.</p> <p>a. Record set</p> <p>PERMANENT RECORDS - Transfer to National Archives after</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>b. Duplicate copies</p> <p>DISPOSE when lists are superseded or of no further administrative value.</p>		
82.	<p>Card Index and Establishment Work List - These are index cards on Form 726M, Master Control (card), or equivalent, set up by establishments or industries covered by item 81; and the work lists on Form M-726, Master Control (sheet), or equivalent, used in preparing the annual lists of establishments.</p> <p>DISPOSE when no longer needed for administrative purposes.</p>		
83.	<p>Establishment Lists Correspondence - This is correspondence with industry members, the general public, and others, regarding changes in distilled spirits plants and other establishments or equivalent, sent to regional offices.</p> <p>DISPOSE after 1 year.</p>		
84.	<p>Revenue and ATF Rulings, Revenue and ATF Procedures, and Announcements - These are the official records of rulings, procedures and announcements relating to activities of the Bureau. They include copies of correspondence or other documents on which the ruling, procedure, or announcement is based.</p> <p>PERMANENT RECORDS - Transfer to National Archives after 50 years.</p>		
85.	<p>Revenue and ATF Rulings and Revenue and ATF Procedures Control Record - These are records showing the chronology of action with respect to rulings and procedures relating to activities of the Bureau.</p> <p>DISPOSE when no longer needed for administrative purposes.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
86.	<p>Precedent Letters - These are copies of letters to regional offices and taxpayers, which are of continuing reference, or precedent value to the Regulatory Enforcement function.</p> <p>DISPOSE after 50 years.</p>		
87.	<p>Regulatory Enforcement Index Digest Cards- These cards contain digests or references, by subject, to precedent letters covered in item 86; and other issuances (such as rulings, informational notices, etc., depending on the subject) relating to activities of the Bureau.</p> <p>DISPOSE after 50 years.</p>		
88.	<p>Reports of Establishment Files (Liquor) - These are reports from regional offices notifying the Headquarters of the qualification or discontinuance of, or changes in, establishments.</p> <p>DISPOSE after 1 year</p>	<p>NN-164-20 Item 15</p>	
89.	<p>Record of Bottle Manufacturers - This is a control record used in assigning permit numbers to liquor bottle manufacturers, pursuant to requests therefor from regional offices.</p> <p>Disposition not authorized at this time. Review after 2 years.</p>		
90.	<p>Lists of Bottle Manufacturers - These are lists, prepared periodically, showing glass manufacturers who hold permits to manufacture liquor bottles.</p> <p>a. Record Set</p> <p>RETAIN</p> <p>b. All others</p> <p>DISPOSE when superseded or no longer needed for administrative purposes.</p>		

WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
91.	<p>Bottle Manufacturer Correspondence - This correspondence relates to operations by manufacturers of liquor bottles, including correspondence on the assignment of permit numbers.</p> <p>DISPOSE on discontinuance of business</p>		
92.	<p>Control Card Record of Essences Covered by Wine and Rectified Products Formulas - These are card records, by name of manufacturer, covering essences, extracts, and other flavoring materials covered by wine and/or rectified products formulas, on Form 27-B Supplemental, Formulas and Process for Rectified Products, and Form 698 Supplemental, Formulated Process for Wine, or equivalent forms.</p> <p>DISPOSE when no longer needed for reference purposes.</p>		
93.	<p>Wine methods and Materials Records - These are control records of methods and materials approved for use in the production of wine.</p> <p>DISPOSE of when no longer needed for reference purposes.</p>		
94.	<p>Distinctive Container Correspondence - Files - These files contain correspondence relative to the approval for use in the production of wine.</p> <p>DISPOSE after 10 years.</p>	<p>NN-164-20 Item 6</p>	
95.	<p>Record Books of Distinctive Containers - These are record books containing photographs of containers approved or disapproved as being "distinctive," for use in bottling beverage spirits.</p> <p>PERMANENT RECORDS - Transfer to National Archives after 50 years.</p>		

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
96.	<p>Pilot Operations Files - These files contain correspondence, reports, and related papers, relative to pilot operations conducted, on an experimental basis, at selected plant premises.</p> <p>DISPOSE after 3 years or when no longer needed for administrative purposes, whichever is earlier.</p>	<p>NN-164-20 Item 25</p>	
97.	<p>Disaster Correspondence Files - These files contain correspondence and other papers concerning disaster areas as declared by the President. (NOTE: Historical records are included among claims records in the field).</p> <p>DISPOSE after 6 years.</p>	<p>NN-164-20 Item 5</p>	
98.	<p>Legislation Files - These files contain bills which relate to activities of the Bureau, introduced in Congress; and correspondence, studies and other papers relative thereto.</p> <p>DISPOSE after 10 years.</p>	<p>NN-164-20 Item 10</p>	
99.	<p>Background material relating to Regulations, Manual Documents, ATF Directives, and Other Issuances - these are background materials on which documents, such as regulations, Treasury Decisions, Manual transmittals, ATF Directives, and industry circulars, are based. drafts of the documents, correspondence, and other data relative thereto which explain the development of and reason for the completed documents.</p> <p>PERMANENT RECORDS - Transfer to National Archives after 50 years.</p>		
100.	<p>Published Documents - These are copies of documents originating in Regulatory Enforcement and include regulations, Treasury Decisions, Manual documents, ATF Directives, and industry circulars. This item excludes material described in item 84.</p> <p>a. Record copy</p> <p>Permanent - Transfer to National Archives after 50 years</p> <p>b. All others</p>		

WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	DISPOSE when superseded or when no longer needed for reference purposes.		
101.	Work Files of Closed Studies - These files contain material compiled in making studies which do not result in the issuance of a regulation, Manual transmittal or supplement, information notice, etc., and recommendations, reports, and other related data. DISPOSE 15 years after study is closed.	NN-164-20 Item 27	
102.	Card Index of Closed Studies, described in item 101. DISPOSE 15 years after study is closed.		
103.	Deleted		
104.	Assignment Control Records Cards - These are card records covering assignments made within Regulatory Enforcement and control of documents such as regulations, Treasury decisions, Manual documents, and industry circulars, prepared within the Bureau or routed to the Bureau for review, showing action on assignments. DISPOSE after 5 years of closing.		
105.	Incentive Awards File - This file contains copies of incentive award suggestions, evaluations, recommendations, correspondence, and other related papers. DISPOSE after 7 years.		
106.	Incentive Awards Index - These are 3" x 5" cards, by suggestion number and by subject, identifying incentive award suggestions filed by employees of the regional and Headquarters Offices of the Bureau. DISPOSE after 7 years.		

WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
107.	<p>Manual Variations - This item covers requests from regional offices for variations from Manual requirements in the regulatory enforcement area, replies thereto, and related reports and papers.</p> <p>DISPOSE when no longer needed for reference purposes.</p>		
108.	<p>Regulatory Enforcement Management Improvement Project Files - These files contain assignments, designated as "management improvement project" which relate primarily to management activities. Included in these files are studies, recommendations, and related papers, records, and correspondence.</p> <p>DISPOSE 10 years after completion of project.</p>	<p>NN-164-20 Item 21</p>	
109.	<p>Operational Project Files - These files contain assignments in Regulatory Enforcement "operational projects" which relate to activities of a lesser significance than management improvement projects. Included in these files are studies, recommendations, and related papers, records, and correspondence.</p> <p>DISPOSE 10 years after completion of project.</p>	<p>NN-164-20 Item 22</p>	
110.	<p>Analysis and Control Project Files - These files contain assignments (on Form 5020.15), Analysis and Control Assignment, or equivalent, which relate to regional activities and which require development or trial operations in the field as a part of the project. Included in the file are studies, recommendations, reports, and related papers and correspondence.</p> <p>a. Class 1 projects, of sufficient significance to require trial in two or more regions.</p> <p>DISPOSE 10 years after completion of project</p> <p>b. All others</p> <p>DISPOSE 5 years after completion of project.</p>	<p>NN-164-20 Item 23</p>	

WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
111.	<p>Analysis and Control Project Card Record- Card records showing action taken on Analysis and Control projects.</p> <p>DISPOSE of individual card when related file is destroyed.</p>	<p>NN-164-20 Item 24</p>	
112.	<p>Joint Criminal Enforcement and Regulatory Enforcement Investigation Request Files - These files contain copies from regional offices of memoranda requests for joint investigations, records of actions taken following such requests, correspondence, and other related papers.</p> <p>DISPOSE 1 year after completion of action.</p>	<p>NN-164-20 Item 26</p>	
113.	<p>Brewery Meter Correspondence Files - These files contain correspondence with brewers, meter manufacturers, and others, relative to the manufacture, performance standards, use, and repair to beer meters.</p> <p>DISPOSE after 5 years.</p>	<p>NN-164-20 Item 7</p>	
114.	<p>Reports of Field Activities - These are reports prepared periodically by Examiners in Headquarters. The reports are designed to ascertain that regional and branch offices are operating in compliance with Bureau regulations and procedures, and, in general, to summarize field activities.</p> <p>DISPOSE after 10 years.</p> <p>NOTE: Items 115 through 124 are reserved for future additions.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
125.	<p>Label Applications - These are applications for approval of labels, applications for exemption from label approval, certificates of approval or exemption, and notices of denial, and related papers.</p> <p>DISPOSE 1 year after discontinuance of business or permit termination.</p> <p>Label Correspondence - This is correspondence, with permittees and others, concerning labeling of alcoholic beverages, other than correspondence relating to label approval or exemption from label approval, covered by item 125 of this schedule.</p>		
126.	<p>DISPOSE of after 5 years. Deleted</p>		
127	<p>Brand Name History Cards - These are card records showing brand names which have been approved, disapproved, or exempted under the Federal Alcohol Administration Act, the names and addresses of companies concerned and the classes and types of products covered.</p> <p>DISPOSE when no longer needed for reference purposes.</p>		
128	<p>Advertising Copy Files - These files contain proposed advertising copy submitted for informal comment, and correspondence with permittees and others, concerning advertising practices.</p> <p>DISPOSE after 10 years.</p>		
129	<p>Work Files of Regulations, Treasury Decisions, Manual Documents, and Other Issuances - These are drafts of regulations issued under the Federal Alcohol Administration Act, amendments thereto, and related hearings; drafts of industry circulars and other documents originating in the Basic Permit and Trade Practices Branch; and correspondence and other related documents.</p> <p>PERMANENT - Transfer to National Archives after 50 years.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
130.	<p>Reference Files of Publications - These include published copies of regulations, industry circulars, and other documents originating in the Basic Permits and Trade Practices Branch.</p> <p>a. Record copy</p> <p>PERMANENT - Transfer to National Archives after 50 years.</p> <p>b. All others</p> <p>DISPOSE when no longer needed for reference purposes.</p>		
131.	<p>Interlocking Directorates Files - These files contain applications concerning interlocking directorates under Section 8 of the Federal Alcohol Administration Act, and related correspondence and papers.</p> <p>DISPOSE 10 years after approval or disapproval of application.</p> <p>132 to 140 reserved for future additions</p>		
141.	<p>Tobacco Tax General Correspondence Files - These files contain general nonprecedent correspondence, pertaining to tobacco tax matters, with Member of Congress, other Governmental agencies, regional offices, members of industry, and the public.</p> <p>DISPOSE after 6 years.</p>		

WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
142.	<p>General Subject Index - These are index cards covering documents included in Items 143 and 144 of this Schedule.</p> <p>PERMANENT RECORDS - Transfer to National Archives after 50 years.</p>		
143.	<p>Industry Regulations and Procedures Files - These files contain a record copy of regulations, Treasury decisions, published rulings and procedures, and industry circulars relating to tobacco drafts and revisions of such documents; and related comments and proposals from industry, regional offices, and others.</p> <p>PERMANENT - Transfer to National Archives after 50 years.</p>		
144.	<p>Rulings and Precedent Files (Unpublished) - These files include ruling and precedent letters which are not published (such as those relating to a unique set of circumstances), with related background materials; and other similar historically significant records relating to the administration of tobacco taxes.</p> <p>PERMANENT - Transfer to National Archives after 50 years.</p>		
145.	Deleted		
146.	<p>Legislation Files - These files contain legislation proposed, or bills introduced in Congress but not enacted, which relate to tobacco taxes, including related correspondence, studies, and other papers.</p> <p>DISPOSE after 10 years.</p>		
147.	<p>Control and Reference Files- These are files for management control or reference purposes, and include such things as tobacco products sample log; listings of distinctive marks authorized for packages; chronological and other copies of correspondence, publications, documents, releases, etc., which are used solely for control or reference.</p> <p>DISPOSE after 2 years or when no longer needed for control or reference purposes, whichever is later.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
148.	<p>Lists of establishments - These are lists of establishments authorized to operate under the tobacco tax laws and regulations.</p> <p>PERMANENT - Transfer to National Archives after 50 years.</p>		
149.	<p>Qualification Status of Individual Establishment Files - These are notices in Form 5000.3, equivalent, from regional offices of the qualification status of establishments authorized to operate under the tobacco tax laws and regulations.</p> <p>DISPOSE when superseded or when business is discontinued, or thereafter when no longer needed for reference purposes.</p>		
150.	Deleted		
151.	<p>Development of Publications and Documents, Files - These files contain copies of Bureau of Alcohol Tobacco and Firearms publications and documents relating to tobacco taxes, with drafts, revisions, and related information used in compiling the publications and documents.</p> <p>DISPOSE 6 years after publications or documents is superseded or becomes obsolete, or when no longer needed for reference purposes.</p>		

WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF PROPERTY - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (with inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
152.	<p>Project and Study Files - These files contain material relating to projects, studies, tasks or other assignments, which do not result in the issuance of a regulations, Treasury Decision, Bureau Directive.</p> <p>DISPOSE 10 years after completed.</p>		
153.	<p>Work Planning and Control Files - These files contain copies or work plans, reports, and other information pertaining to the administration of tobacco laws.</p> <p>DISPOSE after 2 years, or when no longer needed for reference purposes, whichever is later.</p> <p>NOTE: Item 154 thru 160 are reserved for future additions.</p>		

WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
161.	<p>Laboratory Correspondence Files - These files contain correspondence relating to Laboratory activities. The correspondence is generally technical in nature, and is used for research in the Laboratory. It covers communications with universities, other laboratories, and technical and scientific persons, as well as members of the Laboratory staff.</p> <p>DISPOSE after 10 years.</p>	<p>NN-164-20 Item 4</p>	
162.	<p>Consolidated Report - Analysis of Bottled Spirits - These are duplicated copies of consolidated quarterly reports, on Form 7140.1, Quarterly Report of Analysis of Authentic Bottled Distilled Spirits, or equivalent, covering analyses by all ATF laboratories.</p> <p>(a) Record copy</p> <p>DISPOSE after 10 years.</p> <p>(b) Reference copies.</p> <p>DISPOSE when no longer needed for reference purposes.</p>	<p>NN-164-85 Item 2</p>	
163.	<p>Articles Made From Specially Denatured Spirits File - These files contain Form 1479-A, Formula for Article Made with Specially Denatured Alcohol or Rum, or equivalent, covering formulas, labels, and processes for articles made with specially denatured spirits; and related correspondence and papers. (NOTE: In the case of Virgin Islands permittees, the file includes Form ACB-IV-102, Bond for Articles Brought Into the United States Free of Tax, or equivalent forms.)</p> <p>DISPOSE 6 years after discontinuance of business of the establishment that obtained the Forms 1479-A.</p>	<p>NN-164-20 Item 35</p>	
164.	<p>Formula and Process for Nonbeverage Product, Form 1678- These are formulas on Form 1678, or equivalent, filed by manufacturers of nonbeverage products on which drawback of the tax paid on spirits used in the product may be claimed; and related correspondence and papers.</p> <p>DISPOSE 6 years after discontinuance of business.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
165.	<p>Sample Index Books - These are book records on Form 7120, Index Record Book of Samples, or equivalent, which contain information as to samples received in the Headquarters Laboratory for testing.</p> <p>DISPOSE 10 years after last entry in the book.</p>		
166.	<p>Chemists' Record Books - These books, maintained individually by each chemist, contain a chronological record of analyses. They include the working notes and computations developed in the analyses of samples.</p> <p>DISPOSE 10 years after last analysis is completed.</p>		
167.	<p>Card Records of Analysis - These are index card records on Form 7888, Record of Analysis, or equivalent forms, showing data pertaining to the analysis of samples.</p> <p>DISPOSE after 10 years.</p>		
168.	<p>Records of Disposition of Samples - These files contain copies of Form 1537, Chemists' Report of Examination of Samples, or equivalent forms and related records, which are used by the laboratory as authority for disposition of samples.</p> <p>DISPOSE after 10 years.</p>	<p>NN-164-20 Item 37</p>	
169.	<p>Report of Laboratory Examination. These files contain reports of analyses made in the laboratory. They include Form 1537, Chemists' Report of Examination of Samples, and Form 7100.2, Report of Laboratory Examination, or equivalent forms.</p> <p>DISPOSE after 10 years.</p>	<p>NN-164-20 Item 36</p>	
170.	<p>Permit Index Card Files - These files contain permit index cards on Form 5020.9, Permit File Index Card, or equivalent, received from regional offices. They contain information as to the status of premises operated by specially denatured spirits users and to bottlers, repackagers, and reproprocessors of articles.</p> <p>DISPOSE of individual card 6 years after discontinuance of business</p> <p>NOTE: Items 171 thru 173 are reserved for future additions.</p>	<p>NN-164-20 Item 18</p>	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN.
174.	<p>The following forms, or equivalent forms, relate to the processing of Form 1479 A. Form 71, Samples of Finished Products not Received; Form 72, Non-receipt of Form 1479A; and Form 73, Return of Form 1479A.</p> <p>DISPOSE after 2 years.</p>		
175.	<p>Form 3022, Calibration of Hydrometer; Form 3023, Calibration of Thermometer; and Form 2336, Graph for Hydrometer Corrections; or equivalent forms.</p> <p>DISPOSE when no longer needed for reference purposes.</p>		
176.	<p>Form 125, Evidence Control Card; Form 7120.1, Receipt of Evidence Card; or equivalent forms.</p> <p>DISPOSE after 10 years.</p>		
177.	<p>Form 5030.4, Removal and Submission of Samples for Testing; Form 3294, Notice of Sample Shipment; Form 3597, Request for Samples Nonbeverage Drawback Product; or equivalent form.</p> <p>DISPOSE after 2 years.</p>		
178.	<p>Form 5007, Record Card; and Form H-46, Court Record; or equivalent forms.</p> <p>DISPOSE after 10 years.</p>		
179.	<p>Form TD 4011, Radio Facility Data Report, or equivalent form.</p> <p>DISPOSE when no longer needed for reference purposes.</p>		
180.	<p>Form 7140.2, Request for Photographic Works, or equivalent form.</p> <p>DISPOSE after 2 years.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
181.	<p>Form 7130.2, Latent Identification Record; and Form 7130.3, Supplemental Fingerprint ID.; or equivalent forms.</p> <p>DISPOSE when no longer needed for reference purposes.</p> <p>NOTE: Items 182 thru 185 are reserved for addition in the future.</p>		

WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
OFFICE OF INSPECTION RECORDS			
186.	<p>General subject files, including correspondence, reports, memorandum and related papers, not covered elsewhere in this schedule, pertaining to the internal administration and management of the Office of Inspection. (Excludes records covering program activities, etc., or records determined to be of historical value to the Bureau.</p>		
	DISPOSE after 6 years.		
187.	<p>Copies of Manual Orders and Notices or other instructional issuances which are retained solely for reference purposes.</p>		
	DISPOSE when obsolete or superseded.		
188.	<p>Correspondence of a routine nature relative to Operations Review or security matters, such as letters of transmittal and requests for information, which are not appropriate for inclusion in the files listed below.</p>		
	DISPOSE after one year.		
189.	<p>Investigative cases files and the related index and Control Cards (including reports, financial statements, exhibits and correspondence) in security, inquiry, integrity or any other investigation of Bureau employees or other applicants. (Excludes copy or investigativ reports and related papers furnished to the Bureau by the U.S. Civil Service Commission.) Maintenance and disposition instructions for these excluded records are provided in Chapter I-2 of the <u>Federal Personnel Manual</u>.</p>		
	DISPOSE 15 years after separation of employee, or 15 years after date of last report if separation date is not known or applicant was not appointed.		
	Transfer to Federal Records Center 5 years after separation or date of last report.		

WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
190.	Investigative case files (including reports, exhibits and correspondence) and the related Index and Control Cards in investigations of unknown or unnamed individuals or involving offices or situations not relating to specifically named individuals. (Excludes selected precedent records determined to be of historical value to the Bureau.) DISPOSE after 10 years.		
191.	Investigative case files and the related Index and Control Cards (including reports, exhibits and correspondence) on accident investigations or any other type of investigation not included in the preceding items. DISPOSE 5 years after issuance of report.		
192.	Reports of Operations Review and related work papers and correspondence. DISPOSE after 10 years of issuance of report.		
193.	Files which document Internal Audit Division, Office of Inspection, policies, procedures, and activities. DISPOSE after 10 years.		
194.	Files relating to reviews by GAO and GAO reports. DISPOSE 5 years from date of reply to GAO.		
195.	Chronological files of correspondence. DISPOSE 5 years after date.		
196.	Working papers prepared in audits, reviews, surveys, special studies, investigations, etc., of ATF or third parties. DISPOSE 5 years after report issued.		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. Item No.	8. DESCRIPTION OF ITEM (With inclusive dates or retention periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
197.	Reference Files - printed, processed, or extra carbon copies, including file of Government-wide, departmental and Bureau directives, publications, circulars, bulletins, orders and manuals, etc. DISPOSE when obsolete.		

WITHDRAWN