

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
		JOB NUMBER N1-564-09-9	
TO National Archives and Records Administration (NWML) 8601 Adelphi Road, College Park, MD 20740-6001		DATE RECEIVED 5/13/09	
1 FROM (Agency or establishment) Department of the Treasury		NOTIFICATION TO AGENCY	
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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10	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 Field Operations			
4 NAME OF PERSON WITH WHOM TO CONFER Gregory P. Harrod, Sr.	5 TELEPHONE 202-927-1620	DATE 9/29/09	ARCHIVIST OF THE UNITED STATES <i>Adrienne 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>1</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 05/06/09	SIGNATURE OF AGENCY REPRESENTATIVE <i>Paul 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7 ITEM NO	8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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	N1-436-97-2, Item 1	

Special Occupational Tax/Floor Stock Tax System (SOT/FST)

The National Revenue Center processes tax returns and collects taxes, penalties and interest (when necessary) from alcohol, tobacco, firearms and ammunition industry members across 18 different types of businesses for TTB for the Federal government. Through the tax regulating process, TTB ensures: products are labeled, advertised, and marketed in accordance with the law; ensures implemented laws and regulations protect the consumer; ensures the government receives the required revenue; and promotes voluntary compliance by industry participants.

Description:

The Special Occupational Tax/Floor Stocks Tax (SOT/FST) System is the primary tool used to track and collect Federal SOT/FST from companies and individuals engaged in the manufacturing, storing or selling beer, wine, distilled spirits, tobacco and/or firearms and ammunition products. The SOT/FST system receives daily updates of tax returns and payments data from the US Bank via a batch interface.

(Note: Information contained in the records is restricted and managed in accordance with the Privacy Act.)

1. ~~Inputs:~~

GRS 20 Updates of tax returns and payment data from the US Bank via the batch interface are input into the SOT/FST system daily during the business week.

Disposition: TEMPORARY.

In accordance with GRS 20, Item 2c [Supersedes N1-436-97-2, Item 1b]

2. Master Files:

SOT/FST contains managed information regarding additional Federal excise taxes levied against on-hand inventories when tax rates are increased. Data includes SOT/FST taxpayers, tax returns filed, transactions associated with tax returns, refund claims, collection actions, waivers, abatements and adverse actions.

Disposition: TEMPORARY.

Destroy when the system is superseded or when the Bureau determines the records are no longer needed for administrative, legal, audit or other operational purposes. [Supersedes N1-436-97-2, Items 1a(1) and 1a(2)]

3. ~~Outputs:~~

GRS 20 Print Files. Electronic file extracted from a master file or data base without changing it and used solely to produce hard copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports; and hard copy printouts created to meet ad hoc business needs. Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet daily business needs. Examples of the outputs include, but are not limited to: reports, transmittals, tax stamps, and inquiry letters.

Disposition: TEMPORARY.

In accordance with GRS 20, Item 6 and Item 16 [Supersedes N1-436-97-2, Item 1c]

4. System Documentation:

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

Disposition: TEMPORARY.

In accordance with GRS 20, Item 11a(1). [Supersedes N1-436-97-2, Item 1d]