

## Request for Records Disposition Authority

Records Schedule Number	DAA-0058-2012-0007
Schedule Status	Approved
Agency or Establishment	Internal Revenue Service
Record Group / Scheduling Group	Records of the Internal Revenue Service
Records Schedule applies to	Major Subdivision
Major Subdivision	Small Business/Self-Employed (SB/SE)
Schedule Subject	Title 31 Non-Banking Financial Institution Database (Title 31), Bank Secrecy Act
Internal agency concurrences will be provided	No
Background Information	<p>The Title 31 Non-Banking Financial Institution Database (Title 31) application is an on-line database containing non-banking financial institution (NBFIs) workload inventory that is defined and governed by the Bank Secrecy Act (BSA). The database is designed to identify, build, and track Title 31 examination cases covered under Chapter X, Code of Federal Regulations (CFR) and Title 31 of the US Code. Title 31 does not fall under the purview of Title 26. It includes names and addresses of Money Services Businesses (MSBs) received via manual upload or manually input from the Financial Crimes Enforcement Network (FinCEN), Criminal Investigation (CI), the Web Currency and Banking Retrieval System (WebCBRS), state and local agencies throughout the country, and other third party sources. These systems, however, are not interconnections. All data derived from these applications are manually entered into the system. Data is processed and added to a SQL Server, then distributed in Microsoft (MS) Access databases to 100+ users in BSA. Title 31 users review these cases to determine if any case is not in compliance with financial regulations, and make appropriate referrals to FinCEN and/or CI.</p> <p>Only IRS SB/SE BSA is delegated regulatory authority to examine and monitor NBFIs regulated under 31 CFR Chapter X by FinCEN. The Title 31 Database application does not interact with any other IRS system and the data, both electronic and paper, is treated separately from tax information contained in Title 26 database.</p> <p>Unless specifically noted otherwise, this schedule applies to all formats and media in which records are created and maintained in Title 31, including paper and electronic.</p>

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0058-2012-0007

Sequence Number	
1	Title 31 Non-Banking Financial Institution Database (Title 31)
1 1	Master Files Disposition Authority Number DAA-0058-2012-0007-0002
1 2	Outputs Disposition Authority Number DAA-0058-2012-0007-0003

## Records Schedule Items

Sequence Number					
1	<p><b>Title 31 Non-Banking Financial Institution Database (Title 31)</b> The Title 31 Non-Banking Financial Institution Database (Title 31) application is an on-line database containing non-banking financial institution (NBF) workload inventory that is defined and governed by the Bank Secrecy Act (BSA)</p>				
1 1	<p><b>Master Files</b></p> <p>Disposition Authority Number      DAA-0058-2012-0007-0002</p> <p>An on-line database containing NBF workload inventory that is defined and governed by the Bank Secrecy Act (BSA) Only IRS SB/SE BSA is delegated regulatory authority to examine and monitor NBFs under 31 CFR Chapter X by FinCEN The Title 31 Database application does not interact with any other IRS system and the data, both electronic and paper, is treated separately from tax information contained in Title 26 systems</p> <p>Final Disposition                      Temporary</p> <p>Item Status                                Active</p> <p>Is this item media neutral?            Yes</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> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>RCS 28, Item 242B</td> <td>Records Control Schedule for Collection</td> </tr> </tbody> </table> <p>Disposition Instruction</p> <p>Retention Period                        Delete/Destroy data when 20 years old or when no longer needed for administrative, legal, audit, or other operational purpose, whichever is later</p> <p>Additional Information</p> <p>GAO Approval                            Not Required</p>	Manual Citation	Manual Title	RCS 28, Item 242B	Records Control Schedule for Collection
Manual Citation	Manual Title				
RCS 28, Item 242B	Records Control Schedule for Collection				
1 2	<p><b>Outputs</b></p> <p>Disposition Authority Number      DAA-0058-2012-0007-0003</p>				

(1) **Electronic** - Title 31 extract files used primarily by BSA and other customers. These include various ad hoc reports such as group and WISDM reports that are not readily available on Title 31 for users, plus special audit requests usually received from IRS Criminal Investigation, Department of Treasury's Inspector General (TIGTA), FinCEN, Department of Justice and other Federal agencies. (2) **Hardcopy** - BSA examination case files are created from the Title 31 application. Title 31 routinely prints mailing labels and case closing documents.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

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? **No**

Manual Citation	Manual Title
RCS 28, Item 242C	Records Control Schedule for Collection

**Disposition Instruction**

Retention Period **Delete/Destroy when 20 years old or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later**

**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
07/27/2012	Certify	Tracee Taylor	Senior Records Analyst	Real Estate and Facilities Management - Records and Information Management Program
01/16/2013	Submit for Concurrence	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
01/23/2013	Return to Submitter	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
01/23/2013	Submit for Concurrence	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
01/23/2013	Return to Submitter	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
01/23/2013	Submit for Concurrence	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
01/30/2013	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
01/30/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program

02/01/2013	Approve	David Ferrero	Archivist of the United States	Office of the Archivist - Office of the Archivist
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