

Request for Records Disposition Authority

Records Schedule Number DAA-0058-2013-0013
Schedule Status Modified Approved Version

Agency or Establishment Internal Revenue Service
Record Group / Scheduling Group Records of the Internal Revenue Service
Records Schedule applies to Major Subdivision
Major Subdivision Office of Deputy Commissioner, Operations and Support
Minor Subdivision Privacy, Government Liaison, and Disclosure
Schedule Subject PGLD Records
Internal agency concurrences will be provided No

Background Information The following records are used by the offices within Privacy, Government Liaison, and Disclosure (PGLD), which falls under the Deputy Commissioner, Operations Support Organization. PGLD protects sensitive information and privacy of taxpayers and employees; ensuring only authorized disclosures and data sharing, including how to report a lost or stolen laptop or phishing scam.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	0	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0058-2013-0013

Sequence Number	
1	Minutes or Summaries of Conferences and Meetings, Briefings, Operational Reviews (not covered elsewhere in this schedule) Disposition Authority Number: DAA-0058-2013-0013-0001
2	Project Files Disposition Authority Number: DAA-0058-2013-0013-0002
3	Proofs of Concepts Project Files
3.1	Projects that are implemented Disposition Authority Number: DAA-0058-2013-0013-0003
3.2	Projects that are not implemented Disposition Authority Number: DAA-0058-2013-0013-0004
4	Incident Management Case Files Disposition Authority Number: DAA-0058-2013-0013-0005

Records Schedule Items

Sequence Number	
1	<p>Minutes or Summaries of Conferences and Meetings, Briefings, Operational Reviews (not covered elsewhere in this schedule)</p> <p>Disposition Authority Number DAA-0058-2013-0013-0001</p> <p>Records include minutes or meeting summaries, agendas, transcripts, reports, presentation materials, and other documentation of decisions reached and action items.</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? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of calendar year in which conference or meeting is held.</p> <p>Retention Period Destroy 3 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Project Files</p> <p>Disposition Authority Number DAA-0058-2013-0013-0002</p> <p>Records related to the deployment/planning of a project, i.e. UNAX e-Certification or SSN 2DB projects. This would include IRS Enterprise Lifecycle Management artifacts, meetings and presentations, etc. Typical project files contain correspondence, memoranda, status report or final summaries, studies, project authorization documents, assignments, and meeting minutes.</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? No</p>

3	Disposition Instruction	
	Cutoff Instruction	Cut off when project is completed or superseded.
	Retention Period	Destroy 5 year(s) after cutoff.
3.1	Additional Information	
	GAO Approval	Not Required
	Proofs of Concepts Project Files Records include but are not limited to correspondence, meeting notes, functional statements or technical papers, directives or memoranda to staff concerning responsibilities, substantive research materials, questionnaires, surveys or other related raw data that has been analyzed, presentations or briefing materials, and other documentation of working group or subcommittees that supports reports and recommendations.	
3.2	Projects that are implemented	
	Disposition Authority Number	DAA-0058-2013-0013-0003
	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?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off when project is completed or closed.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
GAO Approval	Not Required	
3.2	Projects that are not implemented	
	Disposition Authority Number	DAA-0058-2013-0013-0004
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in	No

4

electronic format(s) other than e-mail and word processing?

Disposition Instruction

Retention Period Destroy 1 year(s) after final decision is made.

Additional Information

GAO Approval Not Required

Incident Management Case Files

Disposition Authority Number DAA-0058-2013-0013-0005

Records of suspected and/or proven incidents of an internal or external PII breach (loss/theft/disclosure). This includes incidents relating to lost IRS employee laptops and phones used for official business, and lost documents containing PII information. This also includes breaches of federal tax information in the possession and control of an external data recipient agency. Incident management case files include incident reports, risk assessments, and copies of taxpayer notifications/correspondence. Copies of TIGTA reports are also maintained relative to the case files, but may be filed separately for FTI protection.

Final Disposition Temporary

Item Status Inactive

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? No

Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-0058-2021-0009-0001

Disposition Instruction

Cutoff Instruction Cut off at end of calendar year in which case is closed.

Retention Period Destroy 2 year(s) after cutoff.

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
09/10/2013	Certify	Tracee Taylor	Senior Records Analyst	Real Estate and Facilities Management - Records and Information Management Program
04/22/2014	Submit for Concurrency	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
04/24/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
04/24/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
04/25/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist