

Request for Records Disposition Authority

Records Schedule Number **DAA-0058-2014-0004**
 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 **Criminal Investigation (CI)**
 Schedule Subject **Part I. Administrative and General Records**
 Internal agency concurrences will be provided **No**

Background Information **Criminal Investigation (CI) seeks a comprehensive update to its current records control schedule (last printed January 1, 2003). This schedule is outdated and does not adequately serve current business needs. The new schedule will be divided into the following four organizational/functional categories, with a related Alphabetical Listing, Numerical Cross-Index, and Forms Listing at the end of the Schedule:**

- Part I. Administrative and General Records**
- Part II. Investigative Program Records**
- Part III. Electronic Information Systems**
- Part IV. National Criminal Investigation Training Academy (NCITA) Training Records**

This SF 115 requests disposition approval for Part I, Administrative and General Records which constitutes new items, updates to previously approved items, or exceptions to GRS items.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
26	0	26	0

GAO Approval

Outline of Records Schedule Items for DAA-0058-2014-0004

Sequence Number	
1	Correspondence Files (excluding records covered by Items 2 below). Disposition Authority Number: DAA-0058-2014-0004-0001
2	General Correspondence Files.
2.1	(A) Area Office. Disposition Authority Number: DAA-0058-2014-0004-0002
2.2	(B) Field Office. Disposition Authority Number: DAA-0058-2014-0004-0003
3	Reports.
3.1	(A) Area Office. Disposition Authority Number: DAA-0058-2014-0004-0004
3.2	(B) Field Office. Disposition Authority Number: DAA-0058-2014-0004-0005
4	Internal Control Records. Disposition Authority Number: DAA-0058-2014-0004-0006
5	Criminal Investigation Career Program. Disposition Authority Number: DAA-0058-2014-0004-0007
6	Case Analysis Reports. Disposition Authority Number: DAA-0058-2014-0004-0008
7	Documents of Cashiers for Investigative Purposes. Disposition Authority Number: DAA-0058-2014-0004-0009
8	Internal Audit Reports (area and field offices).
8.1	(A) Record Copy. Disposition Authority Number: DAA-0058-2014-0004-0010
8.2	(B) All other copies. Disposition Authority Number: DAA-0058-2014-0004-0011
9	Travelers Vouchers. Disposition Authority Number: DAA-0058-2014-0004-0012
10	Special Investigative Equipment Custody and Control Records. Disposition Authority Number: DAA-0058-2014-0004-0013
11	Inventory of Special and Accountable Investigative Equipment. Disposition Authority Number: DAA-0058-2014-0004-0014
12	Transmittal, Receipt and Control Records. Disposition Authority Number: DAA-0058-2014-0004-0015
13	On-The-Job Training Progress Records (TPRs). Disposition Authority Number: DAA-0058-2014-0004-0016

- 14 Required Annual Certifications Briefings and Certification Documents.
 - 14.1 (A) Non-SES appointees.
Disposition Authority Number: DAA-0058-2014-0004-0017
 - 14.2 (B) SES appointees.
Disposition Authority Number: DAA-0058-2014-0004-0018
- 15 CI Mandatory Briefings Certification.
 - 15.1 (A) Non-SES appointees.
Disposition Authority Number: DAA-0058-2014-0004-0019
 - 15.2 (B) SES appointees.
Disposition Authority Number: DAA-0058-2014-0004-0020
- 16 Motor Vehicle Operating and Maintenance Files.
 - 16.1 (A) Operating records including those relating to gas and oil consumption, dispatching, and scheduling and commutation.
Disposition Authority Number: DAA-0058-2014-0004-0021
 - 16.2 (B) Maintenance records, including those relating to service and repair.
Disposition Authority Number: DAA-0058-2014-0004-0022
- 17 Special Agent Credentials.
Disposition Authority Number: DAA-0058-2014-0004-0024
- 18 Quarterly Significant Items Reports and Quarterly Sensitive Case Reports, Quarterly Bank Secrecy Act (BSA) Dissemination Reports and Suspicious Activity Dissemination Reports.
Disposition Authority Number: DAA-0058-2014-0004-0025
- 19 Special agent calendars, appointment books, schedules, logs, diaries, duty rosters, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity, EXCLUDING materials determined to be personal.
Disposition Authority Number: DAA-0058-2014-0004-0026
- 20 Group or staff meeting agendas or minutes.
Disposition Authority Number: DAA-0058-2014-0004-0027

Records Schedule Items

Sequence Number					
1	<p>Correspondence Files (excluding records covered by Items 2 below).</p> <p>Disposition Authority Number DAA-0058-2014-0004-0001</p> <p>Memoranda, teletypes, etc., pertaining to the administrative, housekeeping, or facilitative functions relating to the over-all administration and operation of an individual office.</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> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Manual Citation</th> <th style="text-align: left;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>RCS 30</td> <td>Criminal Investigation</td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation NC-58-75-4 / 1</p> <p>Disposition Instruction</p> <p>Retention Period Destroy after 1 year.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>	Manual Citation	Manual Title	RCS 30	Criminal Investigation
Manual Citation	Manual Title				
RCS 30	Criminal Investigation				
2	<p>General Correspondence Files.</p> <p>Correspondence (not covered elsewhere in this Schedule) with the National Office, Area Offices, or subordinate field offices concerning program activities involving policy, procedures, decisions, etc., not made a part of a specific case.</p>				
2.1	<p>(A) Area Office.</p> <p>Disposition Authority Number DAA-0058-2014-0004-0002</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</p>				

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation NC-58-75-4 / 2

Disposition Instruction

Retention Period Destroy after 3 years.

Additional Information

GAO Approval Not Required

2.2

(B) Field Office.

Disposition Authority Number DAA-0058-2014-0004-0003

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation NC-58-75-4 / 2

Disposition Instruction

Retention Period Destroy after 3 years.

Additional Information

GAO Approval Not Required

3

Reports.

Copies of recurring narrative, statistical, progress and production reports, the originals of which are submitted to higher level offices.

3.1

(A) Area Office.

Disposition Authority Number DAA-0058-2014-0004-0004

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation NC-58-75-4 / 3

Disposition Instruction

Retention Period Destroy after 3 years.

Additional Information

GAO Approval Not Required

(B) Field Office.

Disposition Authority Number DAA-0058-2014-0004-0005

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation NC-58-75-4 / 3

Disposition Instruction

Retention Period Destroy after 3 years.

Additional Information

GAO Approval Not Required

3.2

4

Internal Control Records.

Disposition Authority Number **DAA-0058-2014-0004-0006**

Forms and other records (not covered elsewhere in this Schedule) developed to control internal operations. Included are special agents' sign-out registers, transmittals of informants' communications, and stenographers' notebooks (but NOT those included in investigative files).

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**

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation **NC-58-75-4 / 4**

Disposition Instruction

Retention Period **Destroy after 1 year or when no longer needed in current operations, whichever is earlier.**

Additional Information

GAO Approval **Not Required**

5

Criminal Investigation Career Program.

Disposition Authority Number **DAA-0058-2014-0004-0007**

Questionnaires submitted by Criminal Investigation technical personnel and ratings made by management officials to carry out the career program.

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**

Manual Citation	Manual Title

RCS 30	Criminal Investigation
--------	------------------------

GRS or Superseded Authority Citation NC-58-75-4 / 5

Disposition Instruction

Retention Period Destroy after 2 years or when no longer needed for use in the career program, whichever is earlier.

Additional Information

GAO Approval Not Required

Case Analysis Reports.

Disposition Authority Number DAA-0058-2014-0004-0008

Reports submitted by supervisory officials for use by Criminal Investigation managers in workload measurement and financial planning.

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation NC-58-75-4 / 6

Disposition Instruction

Retention Period Destroy after 2 years.

Additional Information

GAO Approval Not Required

Documents of Cashiers for Investigative Purposes.

Disposition Authority Number DAA-0058-2014-0004-0009

Imprest fund records consisting of cashiers' documents supporting confidential expenditures for investigative purposes. They are maintained in Area Offices by a Criminal Investigation Regional Analyst and in field offices by the Chief.

Final Disposition Temporary

6

7

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**

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation **NC-58-75-4 / 7**

Disposition Instruction

Retention Period **Destroy 10 years and 3 months after period covered by account.**

Additional Information

GAO Approval **Not Required**

8 **Internal Audit Reports (area and field offices).
 Internal Audit Reports and related workpapers and correspondence, including reports on surveys, special studies, and investigations conducted jointly with other organizations.**

8.1 **(A) Record Copy.**

Disposition Authority Number **DAA-0058-2014-0004-0010**

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**

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation **NC-58-75-4 / 8**

Disposition Instruction

Retention Period **Destroy 3 years after date of report.**

8.2

Additional Information

GAO Approval Not Required

(B) All other copies.

Disposition Authority Number DAA-0058-2014-0004-0011

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation NC-58-75-4 / 8

Disposition Instruction

Retention Period Destroy after 3 years or when no longer needed in current operations, whichever is earlier.

Additional Information

GAO Approval Not Required

9

Travelers Vouchers.

Disposition Authority Number DAA-0058-2014-0004-0012

Memorandum copies (SF 1012A or equivalent) of travel vouchers prepared by Criminal Investigation personnel incurring reimbursable expenses. Copies are filed in originating offices for administrative control purposes.

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

Manual Citation	Manual Title
-----------------	--------------

10

RCS 30	Criminal Investigation
--------	------------------------

Disposition Instruction

Retention Period Destroy after 1 year.

Additional Information

GAO Approval Not Required

Special Investigative Equipment Custody and Control Records.

Disposition Authority Number DAA-0058-2014-0004-0013

Forms 1930, Custody Receipt for Government Property, or equivalent and related documents used to identify and record facts about the issuance of special investigative equipment, including the date it was issued to a Criminal Investigator and the date it was returned. Records of this equipment (i.e., equipment that can be used in the surreptitious interception of communications) are maintained in area and field offices where the equipment is stored.

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation NC-58-75-4 / 9

Disposition Instruction

Retention Period Destroy after 3 years.

Additional Information

GAO Approval Not Required

11

Inventory of Special and Accountable Investigative Equipment.

Disposition Authority Number DAA-0058-2014-0004-0014

Lists containing item-by-item identifications and counts of all investigative equipment, including that mentioned in Item 11. The inventories are maintained where the equipment is stored.

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**

Manual Citation	Manual Title
RCS 30	Criminal Investigation

Disposition Instruction

Retention Period **Destroy after 6 years.**

Additional Information

GAO Approval **Not Required**

Transmittal, Receipt and Control Records.

Disposition Authority Number **DAA-0058-2014-0004-0015**

Correspondence, teletype, transmittal letters, reports, and transmittal receipt and control documents, etc., (not covered elsewhere in this Schedule) pertaining to receiving, controlling and transmitting tax returns, taxpayer account registers, and related 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? **No**

Manual Citation	Manual Title
RCS 30	Criminal Investigation

Disposition Instruction

Retention Period **Destroy 1 year after end of processing year.**

Additional Information

GAO Approval **Not Required**

12

13

On-The-Job Training Progress Records (TPRs).

Disposition Authority Number **DAA-0058-2014-0004-0016**

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**

Manual Citation	Manual Title
RCS 30	Criminal Investigation

Disposition Instruction

Retention Period **Destroy Field Office copy sent to NCITA per existing instructions 5 years after completion of OJT Program.**

Additional Information

GAO Approval **Not Required**

14

Required Annual Certifications Briefings and Certification Documents. Includes No Fear Act, Ethics Refresher, Prevention of Sexual Harassment (POSH), Computer Security Awareness, Health and Environmental Awareness, Form 9821, Law Enforcement Availability pay (LEAP) Annual Certification, Managers Functional Security Review.

14.1

(A) Non-SES appointees.

Disposition Authority Number **DAA-0058-2014-0004-0017**

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**

Manual Citation	Manual Title
RCS 30	Criminal Investigation

Disposition Instruction

14.2

Retention Period Destroy 5 years after date of certification.

Additional Information

GAO Approval Not Required

(B) SES appointees.

Disposition Authority Number DAA-0058-2014-0004-0018

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

Disposition Instruction

Retention Period Destroy 5 years after date of certification.

Additional Information

GAO Approval Not Required

15

CI Mandatory Briefings Certification.

15.1

(A) Non-SES appointees.

Disposition Authority Number DAA-0058-2014-0004-0019

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

Disposition Instruction

15.2

Retention Period Destroy 7 years after date of certification.

Additional Information

GAO Approval Not Required

(B) SES appointees.

Disposition Authority Number DAA-0058-2014-0004-0020

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

Disposition Instruction

Retention Period Destroy 7 years after date of certification.

Additional Information

GAO Approval Not Required

Motor Vehicle Operating and Maintenance Files.

16

16.1

(A) Operating records including those relating to gas and oil consumption, dispatching, and scheduling and commutation.

Disposition Authority Number DAA-0058-2014-0004-0021

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

16.2

GRS or Superseded Authority Citation **GRS 10 / 2a**

Disposition Instruction

Cutoff Instruction **Cutoff in calendar year of vehicle disposal.**

Retention Period **Destroy 2 years after cutoff.**

Additional Information

GAO Approval **Not Required**

(B) Maintenance records, including those relating to service and repair.

Disposition Authority Number **DAA-0058-2014-0004-0022**

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**

Manual Citation	Manual Title
RCS 30	Criminal Investigation

17

GRS or Superseded Authority Citation **GRS 10 / 2b**

Disposition Instruction

Cutoff Instruction **Cutoff in calendar year of vehicle disposal.**

Retention Period **Destroy 2 years after cutoff.**

Additional Information

GAO Approval **Not Required**

Special Agent Credentials.

Disposition Authority Number **DAA-0058-2014-0004-0024**

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**

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

Disposition Instruction

Retention Period Destroy immediately after return to issuing office.

Additional Information

GAO Approval Not Required

Quarterly Significant Items Reports and Quarterly Sensitive Case Reports, Quarterly Bank Secrecy Act (BSA) Dissemination Reports and Suspicious Activity Dissemination Reports.

Disposition Authority Number DAA-0058-2014-0004-0025

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

Manual Citation	Manual Title
RCS 30	Criminal Investigation

Disposition Instruction

Transfer to Inactive Storage Retire to Records Center when 3 years old.

Retention Period Destroy when 10 years old.

Additional Information

GAO Approval Not Required

Special agent calendars, appointment books, schedules, logs, diaries, duty rosters, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity, EXCLUDING materials determined to be personal.

Disposition Authority Number DAA-0058-2014-0004-0026

Final Disposition Temporary

18

19

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**

Manual Citation	Manual Title
RCS 30	Criminal Investigation

GRS or Superseded Authority Citation **NC-58-75-4 / 13**

Disposition Instruction

Transfer to Inactive Storage **Retire to Records Center when 2 years old.**
 Retention Period **Destroy when 10 years old.**

Additional Information

GAO Approval **Not Required**

Group or staff meeting agendas or minutes.

Disposition Authority Number **DAA-0058-2014-0004-0027**

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**

Manual Citation	Manual Title
RCS 30	Criminal Investigation

Disposition Instruction

Retention Period **Destroy when 4 years old.**

Additional Information

GAO Approval **Not Required**

20

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
02/20/2014	Certify	Tracee Taylor	Senior Records Analyst	Real Estate and Facilities Management - Records and Information Management Program
09/03/2014	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/15/2014	Submit For Certification	Tracee Taylor	Senior Records Analyst	Real Estate and Facilities Management - Records and Information Management Program
09/15/2014	Certify	Tracee Taylor	Senior Records Analyst	Real Estate and Facilities Management - Records and Information Management Program
11/17/2015	Submit for Concurrence	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
11/19/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/19/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/24/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist