

Request for Records Disposition Authority

Records Schedule Number DAA-0058-2016-0003
Schedule Status Approved

Agency or Establishment Internal Revenue Service
Record Group / Scheduling Group Records of the Internal Revenue Service
Records Schedule applies to Agency-wide
Schedule Subject The Tax Preparer Identification System (TPPS)
Internal agency concurrences will be provided No

Background Information The Preparer Tax Identification System (TPPS) is a system used to register and regulate paid tax return preparers. The system was deployed in 2010.

The TPPS is a web-based publicly available application that is owned and managed by our contractor. TPPS effectively and efficiently controls registration and renewal application processing, supporting document tracking on applications, case management and workflow processing, payment processing and reporting, suitability checks and processing, automated system correspondence, provide a Customer Relationship Management tool, and provide certificates when necessary.

- TPPS includes the following functional requirements:
- Secures online payment of registration and renewal fees enabling both direct debit and credit card options;
 - Enables secure remote access by the Internal Revenue Service users;
 - and provides the ability for the preparer to scan and upload documents

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0058-2016-0003

Sequence Number	
1	System Data Disposition Authority Number: DAA-0058-2016-0003-0001
2	Supporting records to System Data Disposition Authority Number: DAA-0058-2016-0003-0002
3	Undeliverable Mail Disposition Authority Number: DAA-0058-2016-0003-0003

Records Schedule Items

Sequence Number

1

System Data

Disposition Authority Number DAA-0058-2016-0003-0001

The core set of data elements that TPPS stores in relation to each PTIN account include, but are not limited to: (1) information about the preparer (i.e. name, SSN, DoB, etc.) (2) employer identification number (3) PTIN and PTIN issue date and status (4) Self-reported data (i.e. felony convictions, tax compliance, supervised preparer, etc.) (5) Competency Test Status (6) Case Management notes (7)

Results of Suitability checks

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? Yes

Manual Citation	Manual Title
RCS 11, Item TBD	IRS TAX PRACTITIONER ENROLLMENT, PROFESSIONAL RESPONSIBILITY, AND AGENT PRACTICES

GRS or Superseded Authority Citation N1-058-11-025 / 1/B

Disposition Instruction

Cutoff Instruction Cut off at the end of the processing year

Retention Period Destroy 6 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Supporting records to System Data

Disposition Authority Number DAA-0058-2016-0003-0002

Supporting information includes, but is not limited to, correspondence from preparers related to PTIN status, account, etc.; Correspondence from sub-contractor center employees in response to return preparer PTIN inquiries.

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 11, Item TBD	IRS TAX PRACTITIONER ENROLLMENT, PROFESSIONAL RESPONSIBILITY, AND AGENT PRACTICES

Disposition Instruction

Cutoff Instruction Cut off at the end of the processing year

Retention Period Destroy 6 year(s) after cutoff

Additional Information

GAO Approval Not Required

Undeliverable Mail

Disposition Authority Number DAA-0058-2016-0003-0003

Mail that was undeliverable to tax preparer.

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 11, Item TBD	IRS TAX PRACTITIONER ENROLLMENT, PROFESSIONAL

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RESPONSIBILITY, AND AGENT PRACTICES
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Disposition Instruction

Retention Period

Destroy 1 year after receipt.

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
12/29/2015	Certify	Tracee Taylor	Senior Records Analyst	Real Estate and Facilities Management - Records and Information Management Program
01/20/2016	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
02/03/2016	Submit For Certification	Stephanie Welch	Senior Records Analyst	Logistics - Office of records and information management
02/15/2016	Certify	Tracee Taylor	Senior Records Analyst	Real Estate and Facilities Management - Records and Information Management Program
07/12/2016	Submit for Concurrence	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/12/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/12/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/13/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist