

Request for Records Disposition Authority

Records Schedule Number DAA-0058-2019-0003
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
Schedule Subject Criminal Investigation Management Information System
Internal agency concurrences will be provided No

Background Information CIMIS is the management information system central to CI operations. CIMIS tracks and delivers accurate real-time information used for critical oversight of all CI investigations and enforcement actions. CIMIS data is used to determine future priorities, project staffing, and to account for investigative equipment.

CIMIS is a database that tracks data in six main areas: 1. Investigations, 2. Monthly Activity Reports (aka Form 5043), 3. Equipment, 4. Personnel, 5. Public Information Office Outreach, and 6. Audit Trail Information.

Much of the information tracked is required by congressional mandate, Treasury Regulations, Office of Management and Budget (OMB) requirements, and IRS Directives. CIMIS is relied upon heavily for preparing congressional testimony and to ensure CI is successful in achieving IRS' strategic enforcement goals.

CIMIS is also the central web platform with which the following systems are currently integrated:

- AFTRAK (CI's Asset Forfeiture tracking system) and
- PIONEER (CI's media coverage and public information tracking system)

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	0	6	0

GAO Approval

Outline of Records Schedule Items for DAA-0058-2019-0003

Sequence Number	
1	Investigative Activity Data. Disposition Authority Number: DAA-0058-2019-0003-0001
2	Monthly Activity Reports (aka Form 5043) Data. Disposition Authority Number: DAA-0058-2019-0003-0002
3	Equipment Data. Disposition Authority Number: DAA-0058-2019-0003-0003
4	Personnel Data. Disposition Authority Number: DAA-0058-2019-0003-0004
5	Public Information Office Outreach Data. Disposition Authority Number: DAA-0058-2019-0003-0005
6	Audit Trail Data. Disposition Authority Number: DAA-0058-2019-0003-0006

Records Schedule Items

Sequence Number					
1	<p>Investigative Activity Data.</p> <p>Disposition Authority Number DAA-0058-2019-0003-0001</p> <p>Information related to the following types of investigative activities and associated sub-components: a. General, primary and subject investigations; b. Voluntary Disclosures; c. Armed Escorts; d. AFTRAK - asset forfeiture and seizure data; and e. PIONeer - media coverage and public information.</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 30, item 77</td> <td>Criminal Investigation (CI) Records</td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-058-07-11 / 1/D in part</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off 2 years after the following applicable conditions have been met: status of investigation is referred to civil or no civil action required; all asset forfeiture activities are completed; conditions of probation have been met.</p> <p>Retention Period Delete 8 years after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>	Manual Citation	Manual Title	RCS 30, item 77	Criminal Investigation (CI) Records
Manual Citation	Manual Title				
RCS 30, item 77	Criminal Investigation (CI) Records				
2	<p>Monthly Activity Reports (aka Form 5043) Data.</p> <p>Disposition Authority Number DAA-0058-2019-0003-0002</p> <p>Time charged to investigative and non-investigative activities by CI employees.</p>				

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 30, item 77	Criminal Investigation (CI) Records

GRS or Superseded Authority Citation N1-058-07-11 / 1/D in part

Disposition Instruction

Cutoff Instruction Cut off 2 years after the end of the calendar year in which they were recorded.
 Retention Period Delete 8 years after cutoff.

Additional Information

GAO Approval Not Required

Equipment Data.

Disposition Authority Number DAA-0058-2019-0003-0003

Assignment and inventory information for sensitive law enforcement equipment (e.g. weapons, badges, motor vehicles, etc.).

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
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RCS 30, item 77		Criminal Investigation (CI) Records	
GRS or Superseded Authority Citation	N1-058-07-11 / 1/D in part		
Disposition Instruction			
Cutoff Instruction	Cut off 2 years after final disposal of equipment record.		
Retention Period	Delete 8 years after cutoff.		
Additional Information			
GAO Approval	Not Required		
Personnel Data.			
Disposition Authority Number	DAA-0058-2019-0003-0004		
Employee and non-CI employee identifying information to create assignments of investigations and equipment; manage user roles and permissions throughout CIMIS; and/or provide adequate audit trail information.			
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 30, Item 77		Criminal Investigation (CI) Records	
GRS or Superseded Authority Citation	N1-058-07-11 / 1/D in part		
Disposition Instruction			
Cutoff Instruction	Cut off 2 years after personnel profile record has been terminated.		
Retention Period	Delete 8 years after cutoff or when the personnel record no longer has any association to any other existing CIMIS data records, whichever is later.		

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Additional Information

GAO Approval Not Required

Public Information Office Outreach Data.

Disposition Authority Number DAA-0058-2019-0003-0005

Data on the organizations to which CI employees give presentations regarding the CI mission and program areas.

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 30, item 77	Criminal Investigation (CI) Records

GRS or Superseded Authority Citation N1-058-07-11 / 1/D in part

Disposition Instruction

Cutoff Instruction Cut off 3 years after event occurs.

Retention Period Delete 4 years after cutoff.

Additional Information

GAO Approval Not Required

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Audit Trail Data.

Disposition Authority Number DAA-0058-2019-0003-0006

This is a distinct set of data that is captured in the database expressly for audit trail 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?

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
RCS 30, item 77	Criminal Investigation (CI) Records

Disposition Instruction

Retention Period **Delete 7 years after date of capture.**

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
08/16/2019	Certify	Tracee Taylor	IRS Records Officer	Privacy, Governmental Liaison and Disclosure - Records and Information Management
02/10/2020	Return for Revision	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
02/20/2020	Submit For Certification	Tracee Taylor	IRS Records Officer	Privacy, Governmental Liaison and Disclosure - Records and Information Management
02/20/2020	Certify	Tracee Taylor	IRS Records Officer	Privacy, Governmental Liaison and Disclosure - Records and Information Management
06/10/2020	Submit for Concurrence	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
06/16/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/16/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/22/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist