

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER NI-058-08-11	
1 FROM (Agency or establishment) Department of Treasury		DATE RECEIVED 5/13/08	
2 MAJOR SUBDIVISION Internal Revenue Service (IRS)		In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Office of Privacy Information Protection			
4 NAME OF PERSON WITH WHOM TO CONFER Daniel W Bennett, IRS Records Officer	5 TELEPHONE (202) 283-9359	DATE 9/10/08	ARCHIVIST OF THE UNITED STATES <i>Allen Warwick</i>
5 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 on the attached 1 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE April 10, 2008	SIGNATURE OF AGENCY REPRESENTATIVE Daniel W Bennett		TITLE IRS Records Officer National Office, OS A RE SC Washington, DC 20224
7 ITEM NO	8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
RCS 8 Item 71 1.15.8	<p>Record Control Schedule 8</p> <p>The records covered by this schedule are controlled by the Deputy Commissioner, Operations and Support, Office of Privacy Information Protection.</p> <p><u>Internal Revenue Form 11370 Certification of Annual UNAX Awareness Briefing</u></p> <p>In 1997, Congress passed the Taxpayer Browsing Protection Act Public Law 105-35 prohibiting employees of the Internal Revenue Service (IRS) from "casually" browsing the tax information of the public and establishing criminal penalties for failure to comply. Annually, IRS employees are required to attend an awareness briefing which outlines the means employees are to take to protect taxpayer information from unauthorized disclosure and detailing the penalties for failing to protect taxpayer information from unauthorized disclosure. The Internal Revenue Form 11370 <i>Certification of Annual UNAX Awareness Briefing</i> documents attendance at such briefings or the successful completion of on-line training accomplishing the same.</p> <p>Employees complete the form and give it to their supervisor who checks the form to ensure it is signed and completed correctly. Upon completion, the supervisor then gives the employee their copy back and gives the Official Personnel Folder copy to the local UNAX coordinator who thoroughly checks to ensure the form is filled out properly. The OPF copy bears the original signatures of both the employee and manager.</p> <p>Designated UNAX coordinators in each organization send all forms to the Consolidated Official Personnel Folder Site</p>		

SA 9/25/08 copies sent to Agency, NWML, NR

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(currently located at the National Archives and Records Administration operated Federal Records Center, Lee's Summit, MO) where the form is "drop filed" into each employee's Official Personnel Folder. The form is authorized as a "Left Side" document which is purged from the folder prior to eventual retirement at the National Personnel Records Center concluding an employee's employment with the Federal government.

Note – The Treasury Inspector General for Tax Administration (TIGTA) is responsible for conducting investigations of unauthorized access to taxpayer data. Congress placed no statute of limitations on criminal prosecution. IR Forms 11370 must therefore be retained for the full period of an employee's employment. Consequently, the retention period is open-ended. Although current practice is rarely to cull more than the previous year or two of completed forms, that principally results from the nature of the investigative process which more often involves discovery of a possible infraction very soon after the occurrence rather than several years, or more, later.

This Series will be scheduled under RCS 8, Item 71.

TEMPORARY

RETIRE to Employee Official Personnel Folder upon completion of briefing

DESTROY when obsolete, or no longer needed