

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER

11-058-98-4

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

DATE RECEIVED

10-01-97

1. FROM (Agency or establishment)

Department of the Treasury

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION

Internal Revenue Service

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

WITHDRAWN

3. MINOR SUBDIVISION

Assistant Commissioner (Electronic Tax Administration)

4. NAME OF PERSON WITH WHOM TO CONFER

Tony Cincotta

5. TELEPHONE

535-3936x3031

DATE

9-5-01

ARCHIVIST OF THE UNITED STATES

WITHDRAWN

6. 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 ____ 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, ☒ is not required; ☐ is attached; or ☐ has been requested.

DATE

8/20/97

SIGNATURE OF AGENCY REPRESENTATIVE

Barbara A. Murre

TITLE

IRS Records Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

Records Control Schedule for the Assistant Commissioner (Electronic Tax Administration)

The records covered by this schedule are created and/or accumulated by the Assistant Commissioner (Electronic Tax Administration) organization. The Assistant Commissioner is responsible for managing all initiatives and programs relating to electronic commerce for electronic returns, information documents, payment, and correspondence.

Concurrence:

[Signature]

Assistant Commissioner (Electronic Tax Administration)

Date:

8/12/97

WITHDRAWN

7. ITEM NO.	8. DESCRIPTION OF PROGRAM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	This Request for Disposition Authority includes the following series of records:		
1.	Administrative Files	NN-169-10, Item 2	
2.	Calendar and Schedules	New item	
3.	Documentation of Membership in Professional Organizations	NN-169-10	
4.	Legislation and Regulations Records	NN-172-48, Item 3	
5.	Management Survey and Project Records	NN-169-10	
6.	Reading Files	New item	
7.	Routine Correspondence	NN-172-48, Item 7	
8.	Subject Files	New item	
9.	Summaries of National Office and Regional Commissioners' Conferences	NN-169-10	
10.	Interagency Agreements	New item	
11.	Employee Suggestions	GRS 1, Item 12(1)	
12.	Internal Audit Reports	N1-87-7, Item 26	
13.	GAO Reports	New item	
14.	Electronic Filing (ELF) Program Records	New item	
15.	Marketing and Alternative Ways of Filing Program Records	New item	
16.	Electronic Enhancement Program Records	New item	
17.	Revenue Procedures and Compliance Records	New item	
18.	Electronic Individual Master File (IMF) Data Records	New item	
19.	Electronic Business Master File (BMF) and Employee Plans Records	New item	
20.	Electronic Signature Alternatives Records	New item	
21.	Electronic Filing Support Systems Records	New item	
22.	Electronic Management System (EMS) Records	New item	
23.	Electronic Federal/State Return Records	New item	
24.	Filing-From-Home Records	New item	
25.	Electronic Telefile Records	New item	
26.	Electronic On-Line Filing Records	New item	

Item
No.

Description of Record

Authorized Disposition

I. GENERAL ADMINISTRATION AND MANAGEMENT RECORDS

- | | | |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Administrative Files.
(Job No. NN-169-10, item 2)

Correspondence, memoranda, facsimiles, and related documents, which pertain to housekeeping or administration and operation of offices within Assistant Commissioner (Electronic Tax Administration) organization. | Destroy when two years old, or when no longer needed, whichever is sooner. |
| 2. | Calendars and Schedules.
(New Item)

These records, in paper and electronic formats, document daily activities of the Assistant Commissioner (Electronic Tax Administration) and staff. | Destroy when no longer needed for administrative, legal, audit or other operational purposes. |
| 3. | Documentation of Membership in Professional Organizations.
(Job No. NN-169-10)

Correspondence, reports, copies of speeches, minutes of meetings, publications, newsletters and other material that relate to membership and participation of Service officials and supervisory employees in professional societies and organizations. | Destroy six years after the close of the year, or when no longer needed in current operations, whichever is earlier. |
| 4. | Legislation and Regulation Records.
(Job No. NN-172-48, Item 3)

Records contain special studies, recommendations, reports and related data on the development of new or revised tax laws and regulations. They involve major policy decisions by the Assistant Commissioner (Electronic Tax Administration) and members of the staff.

(1) Record copies of material generated or accumulated in the Office of Assistant Commissioner (Electronic Tax Administration).
(2) All other copies. | Transfer to areas of primary functional responsibility when no longer needed for reference.
Destroy when one year old, or when no longer needed for reference, whichever is sooner. |
| 5. | Management Survey and Project Records. | |

Item No.	Description of Record	Authorized Disposition
	<p>(Job No. NN-169-10)</p> <p>Narrative reports and related documents for local implementation at the request of management officials.</p> <p>(1) Record copy.</p> <p>(2) Extra copies.</p>	<p>Destroy five years after issuance or implementation of report, whichever is earlier.</p> <p>Destroy two years after issuance or implementation of report, or when no longer needed in current operations, whichever is earlier.</p>
6.	<p>Reading Files. (New Item)</p> <p>Copies of memoranda, letters, notes, and documents that are addressed to or signed by the Assistant Commissioner (Electronic Tax Administration) and staff members. (Cutoff files annually)</p> <p>(1) Files that pertain to the overall Assistant Commissioner (Electronic Tax Administration) and management of its operations.</p> <p>(2) Files that contain grievance-related information.</p> <p>(3) Extra copies of correspondence maintained for reference purposes.</p>	<p>Destroy when two years old.</p> <p>Destroy five years after the case is related.</p> <p>Destroy when the agency determines that they are no longer needed for administrative, audit, legal or other operational purposes.</p>
7.	<p>Routine Correspondence. (Job No. NN-172-48, Item 7)</p> <p>Inquiry letters from the general public or other government agencies, the replies to which do not involve administrative decisions or substantive decisions of tax liability.</p>	<p>Destroy inquiries when replies are made or information is furnished.</p>

Item No.	Description of Record	Authorized Disposition
8.	<p>Subject Files. (New Item)</p> <p>These files relate to specific issues that require the attention of the Assistant Commissioner or the staff. Records include: correspondence with other Federal agencies; vendors; private companies; organizations; institutions; internal memoranda; staff and contractor studies; reports and related records. (Cutoff files annually)</p>	<p>Destroy when five years old, or when no longer needed in current operations.</p>
9.	<p>Summaries of National Office and Regional Commissioners' Conferences. (Job No. NN-169-10)</p> <p>Documentation of meetings held in the National Office, attended by the Regional Commissioners. These records also include information on decisions reached and action items.</p>	<p>Destroy six years after the end of the year.</p>
	(1) Record copies.	
	(2) Extra copies.	<p>Destroy one year after the end of the year.</p>
10.	<p>Interagency Agreements. (New item)</p> <p>Records include correspondence, coordinations, approvals, and supporting documentation of agreements pertaining to the Tax Refund Offset Program and other similar programs or agreements between IRS and other Federal agencies. They also include agency certification letters, and agreements covering reimbursable services.</p>	<p>Retire to the Washington National Records Center, when five years old. Destroy when 25 years old.</p>

Item No.	Description of Record	Authorized Disposition
11	<p>Employee Suggestions (General Records Schedule 1, Item 12(1))</p> <p>Case files including original copy of the employee suggestion form, correspondence, evaluations, etc.</p> <p>(1) Employee suggestions recommending changes to non-tax or administrative issues.</p>	Destroy two years after approval or disapproval.
	(2) Employee suggestions recommending changes to tax processing forms and tax law.	Destroy when ten years old.
12	<p>Internal Audit Reports (Job No. N1-87-7, Item 26)</p> <p>Narrative reports prepared by Internal Audit, and related correspondence.</p>	Destroy after five years or when no longer needed in current operations, whichever is sooner.
13.	<p>GAO Reports (New Item)</p> <p>Copies of reports dealing with Customer Service issues, correspondence generated in response to the report, and related background information.</p>	Destroy when five years old, or when no longer needed in current operations, whichever is sooner.

Item No.	Description of Record	Authorized Disposition
II. PROGRAM AND FUNCTIONAL RECORDS		
14.	<p>Electronic Filing (ELF) Program Records. (New item)</p> <p>These records include the following: Activity Based Costing (information and statistics collected from functions which contribute to ELF correspondence; ELF strategies; general office files; incoming GAO requests and responses for ELF; incoming Internal Audit requests and responses for ELF; marketing plans; meeting notes; presentation and briefing packages; processing costs and benefits); program statistics; publicity materials; reference and training material; requisitions; spreadsheets; stakeholder information; surveys; and Value Chain Analysis (contract information, statement of work information, deliverables, and related work papers).</p>	<p>Retire to the Federal Records Center when five years old. Destroy when ten years old.</p>
15.	<p>Marketing and Alternative Ways of Filing Program Records. (New item)</p> <p>(1) The following programs are included in marketing and alternative ways of filing:</p> <ul style="list-style-type: none"> (a) 1040PC Return Program (b) 941 ELF Program (c) 941 TeleFile (Pilot) Program (d) Electronic Commerce Program and Marketing Reference Guide (e) Electronic Federal Tax Payment System (EFTPS) Program (f) Federal/State Electronic Filing Program (g) File from Home Program (by computer, except Telefile) (h) Lockbox Program (i) Magnetic Tape Program (j) TeleFile Program 	<p>Retire to the Federal Records Center when five years old. Destroy when ten years old</p>

Item No.	Description of Record	Authorized Disposition
	<p>(2) Records include the following: authorization slips; bulletin board items; Business Case (original and revision); Commerce Business Daily announcements; communication plans; correspondence; fact sheets; copies of GAO reports; general background information; instructional materials; copies of Internal Audit reports; Investment Review Board presentations; marketing plans; meeting notes; memorandums; outside feasibility studies; program statistics; publicity materials, such as stickers and posters; Q&A's; and requisitions.</p>	<p>Retire to the Federal Records Center when five years old. Destroy when ten years old.</p>
16.	<p>Electronic Enhancement Program Records. (New item)</p> <p>(1) The following programs are included in Electronic Enhancement Programs: (a) Information Plan (b) Request for Information Program (c) STRATEGY Program (d) Work Breakdown Strategy</p> <p>(2) Records include reports, charts, discussion papers, notes, minutes of meetings, etc.</p>	<p>Retire to the Federal Records Center when five years old. Destroy when ten years old.</p>
17.	<p>Revenue Procedures and Compliance Records. (New item)</p> <p>Records related to the applications, suitability, and compliance procedures of third party participants. The records include: Request for Information Service (RIS), employee suggestions, Systems Change Request (SCR), Problem Evaluation (PE), Systems Acceptance Testing (SAT), External Change Request (ECR), memorandums, minutes of meetings, correspondence, reports, and discussion papers.</p>	<p>Retire to the Federal Records Center three years after the end of the calendar year. Destroy when ten years old.</p>
18.	<p>Electronic Individual Master File (IMF) Data Records. (New item)</p> <p>Electronic program files that impact individual master file projects, including Forms 1040 and Electronic On-Line Filing (ELF) runs. Types of documentation in the files include: Request for</p>	<p>Retire to the Federal Records Center three years after the end of the calendar year. Destroy when ten years old.</p>

Item No.	Description of Record	Authorized Disposition
19.	<p>Information Services (RIS), employee suggestions, Systems Change Request (SCR), Problem Evaluation (PE), Systems Acceptance Testing (SAT), External Change Request (ECR), memorandums, minutes of meetings, correspondence, reports, and discussion papers.</p> <p>Electronic Business Master File (BMF) and Employee Plans Records. (New item)</p> <p>Electronic program files that impact upon Business Master File and Employee Plans returns, including Forms 1065, 1041, 5500 Series, 941-ELF, magnetic media and ELF Runs. Types of documentation in the files include: Request for Information Services (RIS), employee suggestions, Systems Change Request (SCR), Problem Evaluation (PE), Systems Acceptance Testing (SAT), External Change Request (ECR), memorandums, minutes of meetings, correspondence, reports, and discussion papers.</p>	<p>Retire to the Federal Records Center three years after the end of the calendar year. Destroy when ten years old.</p>
20.	<p>Electronic Signature Alternatives Records. (New item)</p> <p>Records related to the alternatives to handwritten signatures on electronically filed returns (includes Digest). Types of documentation in the files include: memorandums, minutes of meetings, reports, and discussion papers.</p>	<p>Retire to the Federal Records Center three years after the end of the calendar year. Destroy when ten years old.</p>
21.	<p>Electronic Filing Support Systems Records. (New item)</p> <p>Records related to the Bulletin Board, ADB, ARF, Series One, and State Retrieval Systems. Types of documentation in the files include: memorandums, releases, minutes of meetings, correspondence, reports, and discussion papers.</p>	<p>Retire to the Federal Records Center three years after the end of the calendar year. Destroy when ten years old.</p>

Item No.	Description of Record	Authorized Disposition
22.	<p>Electronic Management System (EMS) Records. (New item)</p> <p>Electronic tax return documents related to the EMS programming of IMF and BMF forms. Types of documentation in the files include: memorandums, minutes of meetings, procedures, reports, and discussion papers.</p>	<p>Retire to the Federal Records Center three years after the end of the calendar year.</p> <p>Destroy when ten years old.</p>
23.	<p>Electronic Federal/State Return Records. (New item)</p> <p>Records related to the Federal/State processing of individual and business tax forms.</p>	<p>Retire to the Federal Records Center three years after the end of the calendar year.</p> <p>Destroy when ten years old.</p>
24.	<p>Filing-From-Home Records. (New item)</p> <p>Records related to electronic filing of tax documents other than through TeleFile or a third party. Types of documentation include: employee suggestions, memorandums, minutes of meetings, procedures, correspondence, reports, and discussion papers.</p>	<p>Retire to the Federal Records Center three years after the end of the calendar year.</p> <p>Destroy when ten years old.</p>
25.	<p>Electronic TeleFile Records. (New item)</p> <p>Records related to processing IMF and BMF tax returns, and forms that are filed by telephone. Types of documentation include: Request for Information Service (RIS), employee suggestions, procedures, memorandums, minutes of meetings, reports, and discussion papers.</p>	<p>Retire to the Federal Records Center three years after the end of the calendar year.</p> <p>Destroy when ten years old.</p>

Item No.	Description of Record	Authorized Disposition
26.	Electronic On-Line Filing Records. (New item) Records related to the on-line filing of IMF and BMF tax returns. Types of documentation include: Request for Information Service (RIS), employee suggestions, procedures, memorandums, minutes of meetings, reports, and discussion papers.	Retire to the Federal Records Center three years after the end of the calendar year. Destroy when ten years old.