

*Keul NCD 18 Feb 81*

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

**TO GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

**1 FROM (AGENCY OR ESTABLISHMENT)**  
Treasury Department

**2 MAJOR SUBDIVISION**  
Internal Revenue Service

**3 MINOR SUBDIVISION**  
Facilities Management Division

**4. NAME OF PERSON WITH WHOM TO CONFER**  
  
Gary Hall

**5 TEL EXT**  
  
376-0593

LEAVE BLANK	
JOB NO	NC1-58-81-5
DATE RECEIVED	February 18, 1981
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
3-10-81 <i>Date</i>	<i>[Signature]</i> <i>Archivist of the United States</i>

**6. CERTIFICATE OF AGENCY REPRESENTATIVE**

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

**A Request for immediate disposal.**

**B Request for disposal after a specified period of time or request for permanent retention.**

<b>C. DATE</b> 2-9-81	<b>D SIGNATURE OF AGENCY REPRESENTATIVE</b> <i>Ross H. Thomson</i>	<b>E TITLE</b> Program Manager Records Management Program
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<b>7</b> ITEM NO	<b>8. DESCRIPTION OF ITEM</b> (With Inclusive Dates or Retention Periods)	<b>9</b> SAMPLE OR JOB NO	<b>10.</b> ACTION TAKEN
1	<p>The records described below are created and/or accumulated in the Internal Revenue Service, Office of Regional Director of Appeals, and maintained under the jurisdiction of the Regional Director of Appeals and the Chiefs, Appeals Offices. These records pertain to the Appeals activities of field offices in conducting conferences directed to settlement of taxpayers' appeals. The appeals result from determinations of tax liability made by District Directors of Internal Revenue involving income, estate, gift and employment taxes, and excise taxes (except those imposed on alcohol, firearms, and tobacco). The items reflect changes in established retention periods and records descriptions as well as describe records which have been created recently. (Records Control Schedule 208).</p> <p>Subject File - Correspondence, reports, and related data (not covered elsewhere in this schedule) pertaining to Appeals practices, procedures, authorizations, and program activities and not involving the tax liability of a specific taxpayer or made a part of a specific tax case.</p> <p>(1) DESTROY 5 years after date of cutoff or when determined (on a regional basis) to be no longer needed in current operations, whichever is earlier.</p>	NN-173-162	

*Not sent to FRC's pending receipt of manual change 14 items  
to agency + NNF - 3/26/81  
Checked Out: 3-30-81: K.T. D*

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
3	<p>Internal Control Records - Card files and other records (not covered elsewhere in this schedule) developed to control workflow and record action taken.</p> <p>(1) DESTROY after 5 fiscal years or when determined (on a regional basis) to be no longer needed in current operations, whichever is earlier.</p>	II-NNA-3017	
8	<p>Appeals Division Control Card - Period of Limitations Control, Form 5573, Part 3 or equivalent forms prepared on returns.</p> <p>(1) DESTROY after closing action.</p>		
9	<p>Appeals Division Control Card, Form 5573, Part 4 (Appeals Offices) - Control and Status Card records on all types of cases disposed of by Appeals Offices.</p> <p>(1) DESTROY 5 years after the end of the fiscal year in which the case is closed or when determined (on a regional basis) to be no longer needed in current operations, whichever is earlier.</p>		
10	<p>Appeals Division Control Card - Appeals Officer Card and Supervisor's Card, Form 5573, Parts 1 and 2 used by the Appeals Officer or the supervisor for case processing and control.</p> <p>(1) DESTROY 2 years after end of fiscal year in which the case is closed or when determined (on a regional basis) to be no longer needed in current operations, whichever is earlier.</p>		
11	<p>Appellate Appeals Officer Inventory and Unit Time Report, Form 2568 or equivalent forms used to furnish information on status and progress of the Appeals Officer's case inventory.</p> <p>(1) DESTROY 2 years after end of fiscal year in which report was prepared.</p>		
12	<p>Appeals Office Files containing copies of Form 5402, Appeals Transmittal Memorandum and Supporting Statement; Audit Statement; District Director's transmittal to Appellate with protect; 90-day letter; stipulation; various agreement forms (or equivalents) and related correspondence.</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>(1) DESTROY Field Examination Office Files 5 years after the end of fiscal year in which the case is closed or when determined (on a regional basis) to be no longer needed in current operations, but not less than 2 years after end of fiscal year in which the case is closed.</p> <p>(2) DESTROY Office Examination Office Files 2 years after the end of fiscal year in which the case is closed.</p>		
13	<p>Closing Agreement Case Files - Including checklist and copy of transmittal memorandum and supporting statement, and agreement forms.</p> <p>(1) DESTROY 5 years after the end of fiscal year in which the case is closed, or when determined (on a regional basis) to be no longer needed in current operations.</p>	NN-173-162	
15	<p>Statute Expiration Report, Form 3999 covering barred deficiencies.</p> <p>(1) DESTROY after 2 years.</p>		
17	<p>Form 6173, Appeals Non-AIMS Control/Adjustment Card.</p> <p>(1) Part 1 - Record Section Control copy.</p> <p>(a) DESTROY 5 years after the end of the fiscal year in which the case is closed or earlier when determined (on a regional basis) to be no longer needed in current operations.</p>		

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17	<p>(2) Part 2 - Supervisor's control copy.</p> <p>(a) DESTROY 2 years after the end of the fiscal year in which closed or earlier when determined (on a regional basis) to be no longer needed in current operations.</p> <p>(3) Part 4 - Office file.</p> <p>(a) DESTROY Field Examination Office File 5 years after the end of fiscal year in which the case is closed or when determined (on a regional basis) to be no longer needed in current operations, but not less than 2 years after the end of the fiscal year in which the case is closed.</p> <p>(b) DESTROY Office Examination Office File 2 years after end of the fiscal year in which the case is closed.</p>		