

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-425-03-004

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/3/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 1, Email Reading File

Item 2, Director's Reading File

Item 3, Director's Subject Files

Item 13, Debt Collection Improvement Act of 1996 (DCIA) Working Files

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

N1-425-09-001 supersedes items 4-7, 8A2, 10C, 12, 14-17, and 19.

Items 8A1, 8B1A, 9A1, and 9B1A are filing instructions.

DAA-GRS-2013-0005-0003 supersedes items 8C and 9C.

DAA-GRS-2017-0003-0002 supersedes 8B1B and 8B2.

DAA-GRS-2013-0006-0001 supersedes items 9B1B and 9B2.

DAA-GRS-2014-0002 0002 supersedes 10A.

DAA-GRS-2017-0007 0001 supersedes Items 10B and 10C.

DAA-GRS-2017-0003-0001 supersedes item 10D.

DAA-GRS-2016-0013-0003 supersedes item 18.

Items 11 and 20 are inactive because they are based on an old General Records Schedule item that was rescinded in Transmittal 29 item 5 (<https://www.archives.gov/files/records-mgmt/grs/grs-trs29.pdf>).

DAA-GRS-2016-0016-0002 supersedes item 21.

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REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>701-425-03-4</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>7-17-03</i>	
1. FROM (Agency or establishment) Department of the Treasury		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Financial Management 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Assistant Commissioner, Debt Management Services			
4. NAME OF PERSON WITH WHOM TO CONFER Sharon M. King	5. TELEPHONE NUMBER (202) 874-6960	DATE <i>10-9-03</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>
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 <u>9</u> page(s) are not needed now for the business for 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 <i>7/14/03</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>		TITLE Director, Administrative Programs Division
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED SHEET(S) FOR: <i>Cl Agency, MR, YUWMM</i>		

Business and Agency Liaison Division (BALD)

The Business and Agency Liaison Division (BALD) is responsible for many of the administrative functions for Debt Management Services (DMS). This includes managing a complex budget; ensuring audit reviews; handling personnel actions; and, addressing various debt collection issues in response to media request, as well as working closely with legislative and public affairs. The division is responsible for various debt collection hearings held by congressional committees and coordinates various debt collection conferences and workshops held in Washington, DC, and across the country. The division is responsible for providing leadership and direction to a staff responsible for building cooperative interagency partnerships by working with Federal Program Agency executives and senior staff members to decrease the Government's debt burden through agency debt management.

Office of Director

1. Email Reading File. Printed copies of various action and informational messages selected for filing by the Division Director. These are arranged chronologically.

Disposition: Destroy when 1 year old.

2. Director's Reading File. Contains copies of publications, incoming correspondence, and manuals such as the Information Technology Security Policy manual.

Disposition: Destroy when 1 year old or when no longer needed for current business, whichever is later.

3. Director's Subject Files. Arranged alphabetically, this contains correspondence, memorandums, reports, and comparable records concerning program management matters with which the Director deals. It includes hand-written Commissioner staff meeting notes/minutes, printed copies of presentations given by staff members during the year, and initiatives of interest to the Division.

Disposition: Cut off at the end of each fiscal year. Destroy 3 years after cut off.

Agency Liaison and Reporting Branch

The Agency Liaison and Reporting Branch serves as the initial point-of-contact between Federal agency customers and DMS operations, establishing agency commitments and schedules for referral of delinquent debts as required by the Debt Collection Improvement Act of 1996 (DCIA). The branch works closely with customers to establish practices that reduce losses arising from debt management activities -- requiring proper screening of potential borrowers, aggressive monitoring of all accounts and sharing debtor information within and among Federal agencies. The Branch acts as the liaison to the Federal Credit Policy Working Group, working to address issues such as TIN resolution, purchase card efforts, and the Treasury Report on Receivables.

The Branch manages portfolio validation, performing or overseeing any necessary assessments of the delinquent Federal debt portfolio. The Branch monitors agency performance and compliance with debt performance indicators. The Branch develops and delivers a standard curriculum that is used to establish debt management processes in the Federal agencies, Government corporations, and debt collection centers. The Branch is responsible for conducting comprehensive training sessions on subjects such as the DCIA; application of all management and collection tools; system applications; and, account tracking. Workshops are also conducted to keep the Federal agencies abreast of any new or changing trends in the debt collection arena. In addition, work sessions are conducted for debt collection center staff and agency staff on changing legislation, regulations or directives to ensure that debt management practices are consistent throughout the Government.

4. Agency Portfolios. These records document agency commitments and schedules for referral of delinquent debts as required by the Debt Collection Improvement Act of 1996 (DCIA). Includes background information on the agency, debt referral schedules faxed to FMS by the agency, record copies (yellow) of correspondence with the agency, email messages, certification of Treasury Report on Receivables (TROR) by the agency, agency meeting documents, FMS summaries of meetings with the agency, and comparable records. These are arranged alphabetically by name of the agency.

Disposition: Cut off when all transactions with agency are completed. Destroy 10 years after cut off.

5. Treasury Report On Receivables (TROR) File. These files consist of quarterly and annual reports on receivables due from the public. Arranged by fiscal year, these date from 1994 through the present.

Disposition: Cut off at the end of each fiscal year. Destroy 10 years after cut off.

6. **Taxpayer Identification Compliance Report.** These are used to ensure that agencies submit social security numbers as required. Arranged by calendar year.

Disposition: Cut off at the end of each calendar year. Destroy 7 years after cut off.

7. **Workshops and Conferences File.** The Branch conducts extensive training for both internal and external customers about the DCIA, debt management processes, changes in legislation and regulations, and changes and trends in the debt collection area. These records include training announcements, hotel room arrangements, hotel contract procurement information, registration, handouts, and *PowerPoint*© presentations. The latter are in both electronic and printed form. These are arranged by date of presentation.

Disposition: Cut off at the end of each calendar year. Destroy 3 years after cut off.

8. **Debt Management Information System (DMIS).** DMIS supports the Treasury Report on Receivables (TROR) or credit reports. This system enables Federal agencies to transmit their SF 220.8 and SF 220.9 information to FMS via Internet and allows FMS to monitor agency compliance with the DCIA. The system includes 5-year trend analysis reports. Quarterly data is kept for the current and past four years on line. Older data is kept off line but may be extracted from the historical file. The system dates from 1996 when it was a GOALS application. It has been Web-based since 1999.

Disposition:

- a. Data on electronic media.

1. Current data (current year and previous 4 years). Cycle off to historical file when 5 years old.
2. Historical File. Destroy/delete when 5 years old.

- b. Outputs (statistical and related reports).

1. Hardcopy.
 - a. Record copy. File in agency portfolio file.
 - b. All other copies. Destroy when no longer needed for current business.

2. Electronic. Destroy/delete when no longer needed for current business.
- c. System documentation, including manuals, procedural issuances, and comparable information documenting the creation, maintenance, and use of the system throughout its life cycle, including modifications to the system.

Disposition: Destroy/delete when superseded or obsolete, or 1 year after the discontinuance of the system.

9. DMS Business Continuity Planning (BCP) File. DMS continues to develop its business continuity plan (BCP) for addressing DMS' business and customer needs in case of unexpected interruptions. The BCP is designed to help DMS determine its exposure and impacts if some of or all of its business units/processes were to suffer a major disruption of business operations.

BCP composition - The BCP contains information used as the basis for developing the DMS BCP strategy for BCP development. It contains a list of all the business functions and processes in each respective organization within each DMS division. Each division's BCP contains the tasks, steps, location, resources and interdependencies associated with each business process that need to be recovered.

Disposition:

- a. Data on electronic media.
 1. Current data (current year and previous 4 years). Cycle off to historical file when 5 years old.
- b. Outputs.
 1. Hardcopy.
 - a. Record copy. File in agency portfolio file.
 - b. All other copies. Destroy when no longer needed for current business.
 2. Electronic. Destroy/delete when no longer needed for current business.
- c. System documentation, including manuals, instructions, and comparable information describing the system and how data is inputted, retrieved, sorted and managed.

Destroy/when superseded or obsolete, or 1 year after the discontinuance of the system.

Budget and Administrative Branch

The Budget and Administrative Branch is responsible for the fiscal planning and management of Debt Management Services (DMS) and provides all necessary administrative support to ensure success for the organization. The Branch acts as the liaison between DMS and all FMS support functions such as Information Resources, Management, and the Chief Financial Officer (CFO) to ensure the acquisition of resources to support the debt business. Specifically, the Branch is responsible for acquiring equipment, hardware and software, personnel, contracts, and travel. The Branch is also responsible for formulating, defending, and executing the DMS budget and advises the FMS and Department CFO on DMS-related budget matters. The Branch serves as point-of-contact for the Department and the Office of Management and Budget (OMB) on issues related to resource support for the DMS organization.

10. Human Capital Management Records

Correspondence, memoranda, studies, analyses, electronic databases, reports and other records relating to Human Capital Management responsibilities specified by the President's Management Agenda of 2002; Title XIII of PL 10-296, Homeland Security Act of 2002; and implementing regulations and guidelines promulgated by the Office of Personnel Management and/or the Office of Management and Budget. The official record keeping copy of these documents is maintained within the Human Resources Division.

- a. Analyses of Critical Occupations and Competencies. These records provide a listing of the occupational series and workforce competencies (including knowledge, skill, abilities and other work characteristics) that have been determined as critical to the mission success of FMS.

Disposition: Destroy 2 years from date of official record, or when superseded or obsolete, as applicable.

- b. Recruitment Plan. These records provide a listing of anticipated turnover and planned new hire requirements for critical occupation positions.

Disposition: Destroy 5 years from date of plan. (comparison to GRS 1, #25h)

- c. General files. These records include correspondence and copies of guidance or regulation issued by Treasury Departmental Offices, the Office of Personnel Management, the Office of Management and Budget, any pertinent legislation.

Disposition: Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. (comparison to GRS 1, #25g)

- d. Feeder Reports, working papers, drafts and similar material prepared in the Human Resources Division or submitting organizational units (e.g., Assistant Commissioner areas).

Disposition: Destroy/delete copies that have no further administrative value after the record keeping copy is made within 180 days after the official record keeping copy has been produced.

Policy and Planning Branch

The Policy and Planning Branch oversees DMS-wide strategic and tactical planning efforts and coordinates with the FMS-wide planning function to provide input to the FMS strategic plan and ensure that all DMS planning processes are consistent with FMS standards. The Branch is responsible for forecasting changing resources needs based on the strategic direction of the organization, new laws and regulations, and business influences which require close coordination with all DMS divisions, FMS, the Department, and OMB.

The Branch is responsible for all records maintenance and reporting requirements that ensure compliance with laws such as DCIA, GPRA, the CFO Act, and FMIA. The Branch acts as the liaison between all FMS internal support functions to ensure DMS's application of standard practices in programs such as quality assurance, internal controls, and administrative audits and reviews. The Branch manages program account tracking (time & cost) and related systems, conducts offset hearings, and oversees Government-wide reports on accounts and loans receivables. The Branch is responsible for the development and management of all DMS internal control functions to ensure proper accounting and delivery of funds mailed to FMS, Congressional and customer correspondence, and official documents.

11. General Accounting Office (GAO) Audit Files. Records documenting GAO audits of DMS programs and activities. The records include the draft and final GAO audit report findings and DMS responses to the audits in paper form, a diskette containing an electronic copy of the reports and findings, and related papers. Arranged chronologically by fiscal year and by report, thereunder.

Disposition: Cut off an audit file at the end of each fiscal year in which all activity concerning it is completed. Destroy 5 years after cut off.

12. Weekly Reports. These include the DMS submission to the Weekly Secretary's and the Weekly OFAS (Office of the Fiscal Assistant Secretary) Report which is compiled and prepared for all of FMS by the Office of Legislative and Public Affairs. Maintained by fiscal year.

Disposition: Cut off at the end of each fiscal year. Destroy 5 years after cutoff.

13. Debt Collection Improvement Act of 1996 (DCIA) Working Files. Drafts, correspondence with congressional and Federal agencies, including Treasury Department agencies, email messages, and faxes concerning the development of this statute.

Disposition: Destroy when no longer needed for reference, or when superseded or obsolete.

14. Regulation Development File. Drafts, correspondence, and related papers concerning the development of regulations for DMS programs. Arranged by title of regulation.

Disposition: Destroy when no longer needed for reference or when superseded or obsolete.

15. Public Comments File. Comments solicited by DMS from the public concerning pending regulations. The regulations are either proposed or an interim rule.

Disposition: Cut off when the comment period is over. Destroy 10 years after cut off.

16. Final Rules Reference File. Copies of final rules of DMS regulations maintained in loose-leaf binders.

Disposition: Review annually and destroy when no longer needed for reference, or when superseded or obsolete.

17. Exemption Requests File. Includes debt collection center requests, documentation, and final determinations from Federal agencies; Treasury Offset Program (TOP) exemption requests and final determinations; and cross-servicing exemption requests and final determinations on these requests.

Disposition: Cut off when final determinations are made. Destroy when actions are superseded or no longer relevant to current operations.

18. Privacy Act Systems of Records Revisions File. Includes internal worksheets, drafts and related documents regarding revisions of Privacy Act systems of records notice reviews for revisions and actions taken to revise the system of records.

Disposition: Cut off when notice revision is completed. Destroy when revisions are no longer current.

19. Salary Offset Hearings File. Decisions rendered on salary offset hearings conducted for other Federal agencies.

Disposition: Cut off when decision is rendered. Destroy after 5 years from the last inquiry concerning the appeal hearing.

20. Informational Files. Contains reference materials relating to the assessment of the debt collection process, benefit offset, Treasury Offset Program process, administrative wage garnishment report, selected GAO reports, legislation, oversight hearings, and reports to Congress.

Disposition: Review annually and destroy superseded or obsolete material.

21. Electronic Mail, Spreadsheet, and Word Processing System Copies

Electronic copies of records that are created on electronic mail, spreadsheet, and word processing systems by the Division and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail, spreadsheet, and word processing systems that are maintained for updating, revision, or dissemination.

Disposition:

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.