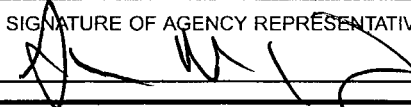


<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See instructions on reverse)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001	
1 FROM (Agency or establishment) Department of the Treasury	
2 MAJOR SUBDIVISION Financial Management Service	
3 MINOR SUBDIVISION Assistant Commissioner, Debt Management Services	
4 NAME OF PERSON WITH WHOM TO CONFER Sharon M King	5 TELEPHONE (202)874-7878

LEAVE BLANK (NARA use only)	
JOB NUMBER NI-425-09-1	
DATE RECEIVED 9/24/09	
NOTIFICATION TO AGENCY	
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request including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
DATE 9/24/09	ARCHIVIST OF THE UNITED STATES 

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,		
<input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested		
DATE 9/24/09	SIGNATURE OF AGENCY REPRESENTATIVE 	TITLE Records officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED SHEETS		

## **Debt Collection Records**

### **Assistant Commissioner, Debt Management Services**

The Financial Management Service (FMS), a bureau of the United States Department of the Treasury, manages the collection of delinquent debt owed to the government. FMS collects delinquent debts owed to the United States government, as well as income tax debts owed to states and overdue child support payments owed to custodial parents. This records schedule covers the recordkeeping copy of information used by FMS to establish debt collection policies and procedures, perform debt collection services, report on debt collection activities, and manage the Debt Management Services (DMS) business line and debt collection systems. The information comes from a number of sources, including federal agencies, state agencies, credit bureaus, and private collection agencies.

This schedule excludes records concerning either Individual Indian Moneys (IIM) or Indian Tribal Trust Funds. Under current Department of the Treasury policy, all documents, data, and tangible things containing information that relates to IIM and Tribal Trust Funds and assets are to be preserved until further notice, in compliance with the preservation obligations set forth in the Federal Rules of Civil Procedure and various court orders pertaining to the retention of such documents, data, and tangible things.

This records schedule covers paper and electronic records in Debt Management Services offices for past and current programs, and information in past and current systems in the Debt Collection segment of FMS's enterprise information technology architecture. This schedule is designed to be flexible enough to cover any new programs established by FMS to support the Debt Management Services business line, and any successor systems implemented by FMS to contain the types of information described below. This schedule authorizes the disposition of the recordkeeping copy in any media (media neutral), to enable FMS to manage records based on information content, not format.

Policy records set forth the rules and procedures governing debt collection activities, and provide guidance to agencies and the public. These records are covered on this schedule by Item 1, Policy Records.

Federal program agency operations records include the input received by FMS from federal agencies, the output reported to those agencies, and the transaction processing data maintained by FMS at the individual case or agency level of detail (as opposed to being consolidated at the federal level). Typically, the information is submitted to or reported by FMS on a routine basis, in accordance with requirements set forth in the Treasury Financial Manual (TFM), TFM supplements, and related publications. Often the information contained in these records will exist in some form at both FMS and the federal program agency that has a debt or claim. These records are covered on this schedule by Item 2, Federal Program Agency Operations Records. Examples of federal program agency operations records include

Information in the Debt Check system, extracted from the TOP database, used to confirm whether potential recipients of federal financial assistance owe delinquent nontax debt to the federal government

Information on the status and condition of a federal agency's nontax debt portfolio, in the Debt Management Information System/Treasury Reports on Receivables (DMIS/TROR )

Collection files and debt, payment, offset, and reversal information in the FedDebt system

Information on delinquent debts owed to federal and state governments and matches for the purpose of offsetting or levying payments to recoup monies owed, in the Treasury Offset Program/Call Tracking System (TOP/CTS )

Treasury program operations records include the input, output and transaction processing data maintained by FMS for FMS or Treasury accounts used to support the Debt Management Services business line (for example, to account for fees received by FMS), and data that FMS consolidates at the federal level. These records are covered on this schedule by Item 3, Treasury Program Operations Records. Examples of Treasury program operations records include

Information on the status and condition of the federal government's nontax debt portfolio, in the Debt Management Information System/Treasury Report on Receivables (DMIS/TROR) system, used by FMS, GAO, OMB, and others to monitor agency compliance with the Debt Collection Improvement Act of 1996

Information in the FedDebt system used to manage and monitor the effectiveness of the debt management program

Call statistics and other information in the Treasury Offset Program/Call Tracking System (TOP/CTS) used to monitor TOP Call Center performance

Other items on this schedule cover significant reports produced by Debt Management Services, and the records used to manage and operate the DMS business line and debt collection systems. These records are covered by Item 4, Consolidated Reports, and Item 5, Program or Project Management Records.

## **1. Policy Records**

a. The recordkeeping copy of all policy directives. Includes policies, procedures, instructions, and forms for federal agencies, the public, and other participants in the Debt Management Services business line, major studies or reports, information on key agency decisions, and records that contain information of historical value that is not available elsewhere. Policy directives include, but are not limited to, information pertaining to Debt

Management Services in the Field Operations Manual (FOM), the Treasury Financial Manual (TFM), and TFM supplements such as “Managing Federal Receivables”, “Guide to the Federal Credit Bureau Program”, and the “Instructional Workbook for preparing the ‘Treasury Report on Receivables and Debt Collection Activities’”

PERMANENT Cut off when revised, superseded or canceled Transfer to the National Archives 20 years after cutoff

b Worksheets, announcements, and guidance materials for federal agencies, the public, and other participants in the Debt Management Services business line This includes announcements of a routine nature, such as dates for reporting requirements, fact sheets, and Frequently Asked Questions (FAQs) or similar lists of anticipated questions and answers, such as those published on FMS Internet sites

TEMPORARY Cut off when revised, superseded or canceled Delete/destroy 20 years after cutoff, or when no longer needed to explain the business context or add to the meaning or value of other records, whichever is later

## **2. Federal Program Agency Operations Records**

Information submitted to FMS by or about other federal agencies, or maintained by FMS at the individual case or agency level of detail, for debt collection transaction processing and servicing operations performed for Federal program agencies This includes input received from, and output reported to, federal agencies, state agencies, credit bureaus, and private collection agencies

TEMPORARY Cut off at the end of the fiscal year in which action on a debt or other item is completed Delete/destroy 7 years after cutoff

## **3. Treasury Program Operations Records**

Input, output and transaction processing data maintained by FMS for FMS or Treasury accounts used to support the Debt Management Services business line, and data that FMS consolidates at the federal level

TEMPORARY Cut off at the end of the fiscal year in which action on a debt or other item is completed Delete/destroy 7 years after cutoff

#### **4. Consolidated Reports**

a The “Annual Report to the Congress, U S Government Debt Collection Activities of Federal Agencies”, and significant reports on debt collection and debt management services containing information of historical value that does not appear in other Treasury reports

PERMANENT Cut off at the end of the fiscal year Transfer to the National Archives 20 years after cutoff

b Other information validated, compiled, consolidated, and reported by FMS on debt collection and debt management services

TEMPORARY Cut off at the end of the fiscal year Delete/destroy 7 years after cutoff

#### **5. Program or Project Management Records**

Correspondence, reports and other records accumulated in managing and carrying out assigned functions These records document program or project management functions, internal procedures, initiatives, planning, management controls, performance measurement, and other program or project-related issues

a Program or project management records that are used throughout the duration of a program or project, or until superseded by a new version Includes records used to document performance criteria for services, management controls, roles and responsibilities, the allocation of charges and payments, and integrity guarantees, or to monitor and evaluate a program or project. These records may include, but are not limited to memorandums of understanding, interagency agreements, service level agreements, fiscal agency agreements, financial agency agreements, non-disclosure agreements, and the business owner’s copy of contracts

TEMPORARY Cut off at the end of the program or project, or when superseded by a new version Delete/destroy 7 years after cutoff, or when no longer needed to explain the business context or add to the meaning or value of other records, whichever is later

b Subject files pertaining to a specific aspect of the program or project, for example, a specific issue, a specific program participant, or activities during a specific time period These records may include, but are not limited to, analyses of specific issues, correspondence with federal agencies or other program participants, interim reports, or the business owner’s copy of audit reports

TEMPORARY Cut off files after action on the subject is completed, for example, when the issue is resolved, the participant leaves the program, or the time period ends Delete/destroy 7 years after cutoff

c Records that relate to the internal administration or housekeeping activities of a program or project This may include internal activity and workload reports, routine notifications of meetings, letters of transmittal that do not add any information to that contained in the transmitted material, suspense and tickler files, and similar materials that do not serve as the basis of official action or unique documentation the functions for which the program or project exists

TEMPORARY Cut off at the end of the fiscal year Delete/destroy 3 years after cutoff  
Longer retention is authorized if records are still needed for business purposes

RECORDS SCHEDULE	ITEM	ORGANIZATION	RECORD SERIES	DESCRIPTION	CURRENT DISPOSITION	RECORD SCHEDULE N1-425-00-01										GENERAL RECORDS SCHEDULES	COMMENTS
						Item 1 a, Policy Records (permanent)	Item 1 b, Policy Records (temporary)	Item 2, Federal Program Agency Operations Records	Item 3, Treasury Program Operations Records	Item 4 a, Consolidated Reports (permanent)	Item 4 b, Consolidated Reports (temporary)	Item 5 a, Prog/ Proj Mgmt Records (used throughout program)	Item 5 b, Prog/ Proj Mgmt Records (subject files)	Item 5 c, Prog/ Proj Mgmt Records (program administration)			
N1-425-03-1	1 AWGB	DMS DSD AWGB	Administrative Wage Garnishment Debtor Case Files	Paper case files that include an AWG request form which is sent to the AWG branch by the private collection agency servicing the debtor that owes the debt and an AWG package which is sent to the debtor's employee. The AWG package includes a Notice Letter (SF-329A), Wage Garnishment Order (SF-329B), Wage Garnishment Worksheet (SF-329C), Employer Certification (SF-329D), AWG Garnishment Request forms, AWG Employer Non-Compliance form, AWG Termination or Debtor Hardship Hearing Request form, debtor hearing documentation and AWG Hearing Resolution form. In addition, AWG has an internal AWG package checklist that is included in the file but is not sent to the employer. On occasion, the case file will include a Private Collection Agency Monitoring System (PMAC) or Debt Management Servicing Center (DMSC) system printout that verifies debt obligation.	Cutoff closed cases at the end of each Fiscal Year. Retain on site for 1 year and transfer to the Washington National Records Center. Destroy 7 years after cutoff.			X									
N1-425-03-1	1 CPB	DMS DSD CPB	Workshop and Debt Collection Conference Files	Originals of the guidance presented to agencies about the Cross-Servicing Program at the annual debt collection conference or at meetings throughout the year with new and existing agencies participating in the Cross-Servicing Program.	Close files at end of fiscal year. Destroy when no longer needed.		X										
				Information about debt collection conference or meeting logistics and administration, such as the conference organizer's copy of procurement documents for the conference facility.	Close files at end of fiscal year. Destroy when no longer needed.								X				
N1-425-03-1	1 PCB CT	DMS DSD PCB CT	Compliance Review Case Files	Annual audits are conducted on Private Collection Agencies (PCA) to ensure they are in compliance with Treasury's PCA contract. An initial report is prepared prior to the on-site visit, which includes documentation regarding demand letters, payment agreements, the number of account resolutions, file rejection reports, and any other issues. While on-site, a worksheet is often utilized to check certain areas of concern and to document where improvement is needed. Upon return from the Compliance Review, a final report is prepared and issued with a cover letter to the PCA. The PCA sends a response to the report to discuss how the findings will be met.	Close file at end of fiscal year in which the contract expires. Transfer to the Federal Records Center. Destroy 7 years after expiration of contract.								X				
N1-425-03-1	2 AWGB	DMS DSD AWGB	Administrative Wage Garnishment Hearing Resolution Files	A debtor may request a hearing about the existence or amount of debt, of the terms of the proposed repayment schedule under the garnishment order. These files include the hearing resolution form and, in some instances, the documentation associated with the decision (i.e., a letter from the creditor agency to the debtor and background investigation documents from the creditor agency).	Cutoff when a final decision is made. Retain on site for 1 year and transfer to the Washington National Records Center. Destroy 7 years after cutoff.			X									
N1-425-03-1	2 PCB CT	DMS DSD PCB CT	Private Collection Agency (PCA) Conference Files	Originals of the guidance presented to PCAs at annual conference or at interim meetings throughout the year.	Close files at end of fiscal year. Destroy when no longer needed.		X										
				Information about PCS conference or meeting logistics and administration, such as the conference organizer's copy of procurement documents for the conference facility.	Close files at end of fiscal year. Destroy when no longer needed.									X			
N1-425-03-1	2 a CPB CSCLST	DMS DSD CPB CSCLST	Agency Program Profile Case Files	Letters of Agreements (LOA) detailing the manner in which FMS will service and be compensated for managing an agency's debt portfolio are maintained by the CPB.	Close file at end of fiscal year in which agreement expires. Destroy when no longer needed for program purposes.							X					

RECORDS SCHEDULE	ITEM	ORGANIZATION	RECORD SERIES	DESCRIPTION	CURRENT DISPOSITION	RECORD SCHEDULE N1-425-09-01										GENERAL RECORDS SCHEDULES	COMMENTS
						Item 1 a. Policy Records (permanent)	Item 1 b. Policy Records (temporary)	Item 2 Federal Program Agency Operations Records	Item 3 Treasury Program Operations Records	Item 4 a. Consolidated Reports (permanent)	Item 4 b. Consolidated Reports (temporary)	Item 5 a. Prog/ Proj Mgmt Records (used throughout program)	Item 5 b. Prog/ Proj Mgmt Records (subject files)	Item 5 c Prog/ Proj Mgmt Records (program administra- tion)			
N1-425-03-1	2 b CPB CSCLS T	DMS DSD CPB CSCLST	Agency Program Profile Case Files	Subsequent to the execution of an LOA agencies submit one or more program profiles including updates which are maintained by CPB personnel	Close file at end of fiscal year in which the agreement expires Transfer to the Federal Records Center when 2 years old Destroy 7 years after cutoff							X					
N1-425-03-1	3 AWGB	DMS DSD AWGB	Administrative Wage Garnishment Workshop Documents	Originals of the guidance presented at workshops conducted for Federal agencies in implementing AWG. These documents include the workshop agenda, fact sheets, a list of Frequently Asked Questions, program and process overview, AWG implementation success, organizational responsibilities and debtor rights, PowerPoint presentation of the Regulations and Hearing Procedures and workshop	Destroy when superseded or obsolete		X										
N1-425-03-1	3 CPB SCCLS T	DMS DSD CPB CSCLST	Debt Referrals Case Files	Debt referrals submitted to FMS by creditor agencies that do not have electronic filing capabilities	Close case at end of each fiscal year in which debt is resolved or returned to the agency as uncollectible. Retain on-site for 2 years or when no longer needed and transfer to the Federal Records Center. Destroy 7 years after cutoff			X									
N1-425-03-1	3 PCB DT	DMS DSD PCB DT	Debtor Dispute Case Files	When attempting to collect a debt, the debtor often disputes either the validity of the debt or the amount owed on the debt. The Private Collection Agencies (PCA) receive this documentation and forward it to the Treasury for resolution. Treasury will then forward the documentation to the Federal agency for a response. Treasury maintains the initial dispute documentation, the resolution documentation, and reports concerning the status of disputes.	Close files at end of each calendar year. Transfer to the Federal Records Center when 2 years old. Destroy when 7 years old.			X									
N1-425-03-1	4 AWGB	DMS DSD AWGB	Administrative Wage Garnishment Operations and Procedure Documents	AWG advice provided to Federal agencies. These documents include the Code of Federal Regulations (31 CFR Section 265.11), U.S. Code annotated, and the AWG technical bulletin.	Destroy when no longer needed for current business or convenience of reference.		X										
				Internal procedures for managing the AWG program. Includes the AWG Operations and Procedural Manual.	Destroy when no longer needed for current business or convenience of reference.					X							
N1-425-03-1	4 CPB CSCLS T	DMS DSD CPB CSCLST	Credit Bureau Disputes	Many delinquent Federal debts are reported to regional credit bureaus. Commercial and consumer debtors whose credit profiles reflect delinquent debts owed to the Federal Government often dispute information reported by FMS. During collections, debtors often dispute either the validity of the debt or the amount owed on the debt. CPB liaison personnel are responsible for managing incoming and responsive correspondence between FMS and regional creditor bureaus. CPB liaisons interact with creditor agencies requesting verification of debt information. CPB maintains the initial dispute documentation, the resolution documentation, and related correspondence surrounding these disputes. In addition, CPB also maintains documentation requesting modification or deletion of previously reported credit bureau information.	Close files at end of each fiscal year upon resolution of dispute. Transfer to Federal Records Center when 1 year old. Destroy 4 years after cutoff.			X									



RECORDS SCHEDULE	ITEM	ORGANIZATION	RECORD SERIES	DESCRIPTION	CURRENT DISPOSITION	RECORD SCHEDULE N1-425-09-01										GENERAL RECORDS SCHEDULES	COMMENTS
						Item 1 a, Policy Records (permanent)	Item 1 b, Policy Records (temporary)	Item 2 Federal Program Agency Operations Records	Item 3 Treasury Program Operations Records	Item 4 a, Consolidated Reports (permanent)	Item 4 b, Consolidated Reports (temporary)	Item 5 a, Prog/ Proj Mgmt Records (used throughout program)	Item 5 b, Prog/ Proj Mgmt Records (subject files)	Item 5 c, Prog/ Proj Mgmt Records (program administration)			
N1-425-03-1	4 PCB FT	DMS DSD PCB FT	Financial Information and Reports Files	Payments resulting from collection efforts are sent to Treasury approved lockbox banks. When a payment is unable to be identified to a specific debtor account, FMS personnel notifies the Private Collection Agency by sending a Suspense Transaction Report. The PCA completes the report and identifies accounts to which the payments should be applied. PCAs may also show that a payment may need to be divided among several accounts by attaching an Apportionment Form. On a monthly basis, an Earned Fee Report is sent to the PCA to notify them of the credit they have earned on collections. The PCA generates a monthly invoice as a result of this notification. As part of the financial process, numerous reports and correspondence are generated, such as but not limited to, On-line Processing and Collection/Intra-governmental Payment and Collection reports (OPAC/IPAC), reversal reports, general correspondence, and lockbox activity reports.	Close files at end of each calendar year. Transfer to the Federal Records Center when 2 years old. Destroy when 7 years old.				X								
N1-425-03-1	5 CPB CSCLST	DMS DSD CPB CSCLST	Agency Recall of Debt Referrals – Return to Agency (RTA)	Often cases previously referred to Cross-Servicing are recalled (rescinded) by the creditor agency. These recall requests are generated from the referring agency, requesting that the debt be returned to the agency (RTA) for reasons such as: deceased debtor, bankruptcy stay or discharge, the debt is no longer enforceable or is invalid, the debt was paid in full, or the debt referral was simply an error. Recall requests are generally a one-page fax form, occasionally supportive documentation is also included. Recall request files maintained in Cross-Servicing include the original recall forms with supporting documentation and fax form to or from the agencies.	Close files at the end of each fiscal year in which the case has been rescinded. Transfer to Federal Records Center when 1 year old. Destroy 4 years after cut off.			X									
N1-425-03-1	5 PCB MT	DMS DSD PCB MT	Concurrence Requests	Private Collection Agencies (PCA) may enter into payment agreements with debtors based upon a standard set of criteria. If a payment agreement does not meet the criteria, the PCA may send the payment agreement terms, along with supporting documentation, such as a credit bureau report, a tax return, or a financial statement (provided to the PCA by the debtor) to FMS for approval. The payment agreement may be approved within FMS or may be forwarded to the original Federal agency for approval. These are records of deliberations and the internal approval process that support entering into a payment.	Close files at end of calendar year in which the agreement expires. Transfer to the Federal Records Center when 2 years old. Destroy when 5 years after cutoff.			X									
N1-425-03-1	6 CPB CSCLST	DMS DSD CPB CSCLST	1099C Issuance (IRS Notification of Forgiveness of a Debt)	Once a case has been through the collection process, any unpaid amount at the time of closure may be eligible for 1099C issuance. On behalf of creditor agencies, liaison personnel manage the approval and issuance of 1099C records for cancelled Federal debts resolved through Cross-Servicing. Forgiveness of amounts in excess of \$600 must be reported to the Internal Revenue Service (IRS) and may become a taxable event pursuant to provisions of the IRS code FMS'. 1099C files consist of agency spreadsheets, forms forwarded to or received from agencies, general correspondence routinely faxed to Federal agencies and copies of actual 1099Cs issued to debtors whose debts have been forgiven.	Close files at the end of each fiscal year upon resolution of debt. Transfer to Federal Records Center when 3 years old. Destroy 8 years after cutoff.			X									

RECORDS SCHEDULE	ITEM	ORGANIZATION	RECORD SERIES	DESCRIPTION	CURRENT DISPOSITION	RECORD SCHEDULE N1-425-09-01										GENERAL RECORDS SCHEDULES	COMMENTS
						Item 1 a. Policy Records (permanent)	Item 1 b. Policy Records (temporary)	Item 2. Federal Program Agency Operations Records	Item 3. Treasury Program Operations Records	Item 4 a. Consolidated Reports (permanent)	Item 4 b. Consolidated Reports (temporary)	Item 5 a. Prog/ Proj Mgmt Records (used throughout program)	Item 5 b. Prog/ Proj Mgmt Records (subject files)	Item 5 c. Prog/ Proj Mgmt Records (program administra- tion)			
N1-425-03-1	6 PCB MT	DMS DSD PCB MT	Administrative Resolutions	An administrative resolution provides the private collection agency (PCA) the opportunity to obtain credit for those debts when a debtor is deceased, bankrupt, or is disabled with the inability to pay. A PCA submits an administrative resolution request along with documentation to prove the findings. This documentation may include, but not be limited to, a credit bureau report, a financial statement, and other legal documents to prove the findings.	Close files at end of calendar year. Transfer to the Federal Records Center when 2 years old. Destroy when 5 years old.			X									
N1-425-03-1	7 CPB CSCLS T	DMS DSD CPB CSCLST	Department of Justice Referrals – Claims Collection Litigation Referrals (CCLR)	Enforced litigation or compromise requests requiring assistance from the Department of Justice (DOJ) are prepared and managed by a Department of Justice liaison within the Collection Policy Branch. Due to the sensitive nature of both the Claims Collection Litigation Report (CCLR) and supporting documentation (tax returns (submitted by the debtor), financial documents, etc.), these materials are not stored in general file areas located throughout the CPB. Instead, separate locking file cabinets in a designated area house all DOJ materials and related.	Close files at the end of each fiscal year upon resolution of debt. Transfer to Federal Records Center when 3 years old. Destroy 8 years after cutoff.			X									
N1-425-03-1	7 PCB MT	DMS DSD PCB MT	Agency Account Return/Recall Requests	A Federal agency may request that an account, which is being serviced by Treasury, be returned to them at any time. Prior to returning the account, research is conducted into the status of the account. The original request and the documentation associated with the research are stored for reference purposes.	Close files at end of calendar year. Transfer to the Federal Records Center when 2 years old. Destroy when 5 years old.			X									
N1-425-03-1	8 CPB CSFT	DMS DSD CPB CSFT	Financial Information and Reports	Financial team members routinely respond to questions about DMSC financial transactions by and through the use of a variety of financial reports generated within DMSC. The four primary financial reports regularly distributed are: New Case, Collection Activity, Financial Transaction Detail (specific to a transaction), and Financial Activity (covering multiple transactions). A Suspense Transaction report is also utilized through information obtained from lockbox banks or data from within.	Hard copies of reports. Cutoff at the end of each fiscal year. Destroy 1 year after cutoff.										GRS 20 item 6 - Print File or GRS 20 item 5 - Extracted Information		
N1-425-03-1	8 PCB SPT	DMS DSD PCB SPT	PCB Marketing and Training Documents	These documents may include, but are not limited to, originals of PCB fact sheets, conference and training presentation packages.	Close files at end of each calendar year. Destroy when 5 years old.		X										
N1-425-03-1	9 CPB CSFT	DMS DSD CPB CSFT	Creditor Agency Payment Information	Financial Team members maintain records containing creditor agency payment information. For example, when a creditor agency such as the Department of Veterans Affairs or the Small Business Administration sends agency payment information on a debt no longer in the Cross-Servicing Program, CPB financial staff notifies the designated agency contact or FMS' inability to post the reported payment.	Cutoff closed files at the end of each fiscal year. Transfer to Federal Records Center 1 year after cutoff. Destroy 3 years after cutoff.			X									
N1-425-03-1	9 PCB SPT	DMS DSD PCB SPT	System Development Project Files	These documents may include, but are not limited to, project plans, system requirements, testing plans, and scripts related to system development.	Close files at end of calendar year. Destroy when 5 years old.										GRS 20, item 11 Sys Doc		

RECORDS SCHEDULE	ITEM	ORGANIZATION	RECORD SERIES	DESCRIPTION	CURRENT DISPOSITION	RECORD SCHEDULE N1-425-09-01										GENERAL RECORDS SCHEDULES	COMMENTS
						Item 1 a, Policy Records (permanent)	Item 1 b, Policy Records (temporary)	Item 2, Federal Program Agency Operations Records	Item 3, Treasury Program Operations Records	Item 4 a, Consolidated Reports (permanent)	Item 4 b, Consolidated Reports (temporary)	Item 5 a, Prog/ Proj Mgmt Records (used throughout program)	Item 5 b, Prog/ Proj Mgmt Records (subject files)	Item 5 c, Prog/ Proj Mgmt Records (program administration)			
N1-425-03-1	10	DMS DSD CPB CSFT	Intra-governmental Collection Reports	Transactions reports and other information needed for temporary use (for example, until an inquiry is addressed and resolved), from DMSC, Intra-governmental Payment and Collection (IPAC), or other systems	Reconciliation or audit materials are placed in files for historical reference and maintained for 1 year, then destroyed. IPAC reports, cover letters and fax forms are maintained no more than 30 days or when no longer needed upon agency verification of receiving financial reports. All of the reports and case information are stored on the DMSC system indefinitely										GRS 20 item 5 - Extracted Information		
N1-425-03-1	10 a	DMS DSD CPB CSFT	Intra-governmental Collection Reports	Reconciliation or audit records	Cutoff at the end of each fiscal year. Destroy 1 year after cutoff				X								
N1-425-03-1	10 b	DMS DSD CPB CSFT	Intra-governmental Collection Reports	IPAC reports, cover letters, and fax forms	Destroy upon verification of receipt by agency or when 30 days old, whichever is sooner											Existing (2003) schedule stands	
N1-425-03-4	1	DMS BALD OD	Email Reading File	Printed copies of various action and informational messages selected for filing by the Division Director. These are arranged chronologically.	Destroy when 1 year old.											Existing (2003) schedule stands	
N1-425-03-4	2	DMS BALD OD	Director's Reading File	Contains copies of publications, incoming correspondence, and manuals such as the Information Technology Security Policy manual.	Destroy when 1 year old or when no longer needed for current business, whichever is later.											Existing (2003) schedule stands	
N1-425-03-4	3	DMS BALD OD	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.	Cut off at the end of each fiscal year. Destroy 3 years after cut off.											Existing (2003) schedule stands	
N1-425-03-4	4	DMS BALD ALRB	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.	Cut off when all transactions with agency are completed. Destroy 10 years after cut off.							X					
N1-425-03-4	5	DMS BALD ALRB	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.	Cut off at the end of each fiscal year. Destroy 10 years after cut off.						X						
N1-425-03-4	6	DMS BALD ALRB	Taxpayer Identification Compliance Report	These are used to ensure that agencies submit social security numbers as required. Arranged by calendar year.	Cut off at the end of each calendar year. Destroy 7 years after cutoff.								X				
N1-425-03-4	7	DMS BALD ALRB	Workshops and Conferences File	Originals of guidance presented at training for 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 are arranged by date of presentation.	Cut off at the end of each calendar year. Destroy 3 years after cutoff.		X										
				Information about training logistics and administration, such as the business owner's copy of hotel contract procurement information.	Cut off at the end of each calendar year. Destroy 3 years after cutoff.									X			
N1-425-03-4	8 a.1	DMS BALD ALRB	Debt Management Information System	Data on electronic media. Current data (current year and previous 4 years).	Cycle off to historical file when 5 years old.											No retention specified, this is filing instruction	

RECORDS SCHEDULE	ITEM	ORGANIZA- TION	RECORD SERIES	DESCRIPTION	CURRENT DISPOSITION	RECORD SCHEDULE N1-425-09-01										GENERAL RECORDS SCHEDULES	COMMENTS
						Item 1 a, Policy Records (permanent)	Item 1 b, Policy Records (temporary)	Item 2, Federal Program Agency Operations Records	Item 3, Treasury Program Operations Records	Item 4 a, Consolidated Reports (permanent)	Item 4 b, Consolidated Reports (temporary)	Item 5 a, Prog/ Proj Mgmt Records (used throughout program)	Item 5 b, Prog/ Proj Mgmt Records (subject files)	Item 5 c Prog/ Proj Mgmt Records (program administra- tion)			
N1-425-03-4	8 a 2	DMS BALD ALRB	Debt Management Information System	Federal program agency data on electronic media, such as debt case files Treasury program data on electronic media, such as information on total collections	Destroy/delete when 5 years old Destroy/delete when 5 years old			X									
N1-425-03-4	8 b 1 a	DMS BALD ALRB	Debt Management Information System	Outputs (statistical and related reports) Hardcopy Record copy	File in agency portfolio file				X							No retention specified, this is filing instruction See N1-425-03-4 item 4 for retention of originals in agency portfolio	
N1-425-03-4	8 b 1 b	DMS BALD ALRB	Debt Management Information System	Outputs (statistical and related reports) Hardcopy All other copies	Destroy when no longer needed for current business										GRS 20 item 6 - Print File		
N1-425-03-4	8 b 2	DMS BALD ALRB	Debt Management Information System	Outputs (statistical and related reports) Electronic	Destroy/delete when no longer needed for current business										GRS 20 item 5 Extracted Information		
N1-425-03-4	8 c	DMS BALD ALRB	Debt Management Information System	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	Destroy/delete when superseded or obsolete, or 1 year after the discontinuance of the system										GRS 20 Sys Doc		
N1-425-03-4	9 a 1	DMS BALD ALRB	DMS Business Continuity Planning File	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. Data on electronic media. Current data (current year and previous 4 years)	Cycle off to historical file when 5 years old.											No retention specified, this is filing instruction	
N1-425-03-4	9 b 1 a	DMS BALD ALRB	DMS Business Continuity Planning File	Outputs Hardcopy Record copy	File in agency portfolio file											No retention specified, this is filing instruction See N1-425-03-4 item 4 for retention of originals in agency portfolio	
N1-425-03-4	9 b 1 b	DMS BALD ALRB	DMS Business Continuity Planning File	Outputs Hardcopy All other copies	Destroy when no longer needed for current business										GRS 24 item 5a		
N1-425-03-4	9 b 2	DMS BALD ALRB	DMS Business Continuity Planning File	Electronic	Destroy/delete when no longer needed for current business										GRS 24 item 5a		
N1-425-03-4	9 2	DMS BALD ALRB	DMS Business Continuity Planning File	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										GRS 20 item 11, Sys Doc		
N1-425-03-4	10 a	DMS BALD BAB	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. 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.	Destroy 2 years from date of official record, or when superseded or obsolete, as applicable										GRS 1 item 7 Position Classification on Files		
N1-425-03-4	10 b	DMS BALD BAB	Human Capital Management Records	Recruitment Plan. These records provide a listing of anticipated turnover and planned new hire requirements for critical occupation positions.	Destroy 5 years from date of plan (comparison to GRS 1, item 25 b)										GRS 1 item 3 Personnel Correspondence Files		

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N1-425-03-4	10 b	DMS BALD BAB	Human Capital Management Records	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	Destroy when 3 years old or when superseded or obsolete, whichever is applicable (comparison to GRS 1, item 25g)										GRS 1 item 3 Personnel Correspondence Files		
N1-425-03-4	10 d	DMS BALD BAB	Human Capital Management Records	Feeder Reports, working papers, drafts and similar material prepared in the Human Resources Division or submitting organizational units (e.g., Assistant Commissioner areas)	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										N1-425-91-1 item 3 Working Papers		
N1-425-03-4	11	DMS BALD PPB	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 report number	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										GRS 16 item 14 f(2) Review Files		
N1-425-03-4	12	DMS BALD PPB	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	Cut off at the end of each fiscal year Destroy 5 years after cutoff						X						
N1-425-03-4	13	DMS BALD PPB	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	Destroy when no longer needed for reference or when superseded or obsolete										N1-425-91-1 item 3 Working Papers		
N1-425-03-4	14	DMS BALD PPB	Regulation Development File	Drafts, correspondence, and related papers concerning the development of regulations for DMS programs Arranged by title of regulation	Destroy when no longer needed for reference or when superseded or obsolete		X										
N1-425-03-4	15	DMS BALD PPB	Public Comments File	Comments solicited by DMS from the public concerning pending regulations The regulations are either proposed or an interim rule	Cut off when the comment period is over Destroy 10 years after		X										
N1-425-03-4	16	DMS BALD PPB	Final Rules Reference File	Copies of final rules of DMS regulations maintained in loose-leaf binders	Review annually and destroy when no longer needed for reference or when superseded or obsolete		X										
N1-425-03-4	17	DMS BALD PPB	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	Cut off when final determinations are made Destroy when actions are superseded or no longer relevant to current operations							X					
N1-425-03-4	18	DMS BALD PPB	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	Cut off when notice revision is completed Destroy when revisions are no longer current										GRS 14 item 26 Privacy Act General Administration Files		
N1-425-03-4	19	DMS BALD PPB	Salary Offset Hearings File	Decisions rendered on salary offset hearings conducted for other Federal agencies	Cut off when decision is rendered Destroy after 5 years from the last inquiry concerning the appeal hearing			X									
N1-425-03-4	20	DMS BALD PPB	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	Review annually and destroy superseded or obsolete material										GRS 16 item 14 f Review Files		

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N1-425-03-5	1	DMS DSD MS	Mortgage Servicing Records	These consist primarily of case files documenting the mortgages serviced under the auspices of the program. The cases include Air Force Plant #85, Castle Gardens, Castle Vista, Chanute, Grissom, the Naval Industrial Building, and, the Naval Weapons site. The files contain copies of correspondence, loan activity reports, facsimile messages, disbursement information by agency location code (ALC) of mortgage payments from the sale of the property, mortgage amortization schedules, certificates of insurance, mortgage payment distribution reports, loan information fact sheets, and photocopies of deeds, notes, mortgages, and satisfaction of the mortgage, as applicable. There are also a few subject files and a reading file. The former deal with the MOU between the Financial Management Service and GSA outlining their respective responsibilities in managing the mortgage servicing program and related program correspondence. Overall dates of the records are from 1994 to May 2002. Most of the records date from 1995 through 2000. Approximate volume is two and one-half cubic feet.	Cut off files at the end of the fiscal year. Transfer immediately to the Washington National Records Center. Destroy in October 2007.											Existing (2003) schedule stands	
N1-425-03-5	2 a	DMS DSD MS	Electronic Mail and Word Processing System Copies	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.										GRS 20, item 13 WP Files, item 14 E-mail Recs		
N1-425-03-5	2 b	DMS DSD MS	Electronic Mail and Word Processing System Copies	Electronic copies of records that are created on electronic mail and word processing systems 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 and word processing systems that are maintained for updating, revision, or dissemination. 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.										GRS 20, item 13 WP Files, item 14 E-mail Recs		
N1-425-04-4	1	DMS	Undeliverable Initial Demand Letters - Debt Management Cross-Servicing Program	Outgoing correspondence that serves as a notice to individuals and businesses about a pending debt action with the Federal Government. Those letters that are undeliverable to addressees are automatically returned to the Debt Management Operations Center without further action and noted as undeliverable in a service-wide information management system for tracking purposes. Note: records are used to update database.	Destroy 3 months after return of undeliverable mail.										GRS 20 item 2 a(4), Input		
N1-425-04-4	2	DMS	Undeliverable Offset Notices - Treasury Offset Program	Outgoing correspondence that notifies debtors a Federal payment has been offset in accordance with the Debt Collection Improvement Act of 1996. Those letters that are undeliverable to addressee are automatically returned to the Debt Management Operations Center and noted as undeliverable in a service-wide document management system for tracking purposes. Note: records are used to update database.	Destroy 3 months after return of undeliverable mail.										GRS 20 item 2 a(4), Input		
N1-425-04-4	3 a	DMS	Delinquent Debtor Case Files	Copies of case files pertaining to debts forwarded by various Federal agencies for cross-servicing and resolution actions under the Debt Collection Improvement Act of 1996. The records consist of notification letters, medical records and claim forms, summary data information, and related documents. The records are used by the Debt Management Operations Center to collect unresolved debts after an allotted delinquent date. Paper files dated prior to FY 2004.	Close file upon resolution of debt. Destroy 6 years and 3 months after closure.			X									

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N1-425-04-4	3 b	DMS	Delinquent Debtor Case Files	Copies of case files pertaining to debts forwarded by various Federal agencies for cross-servicing and resolution actions under the Debt Collection Improvement Act of 1996. The records consist of notification letters, medical records and claim forms, summary data information, and related documents. The records are used by the Debt Management Operations Center to collect unresolved debts after an allotted delinquent date. Paper files dated FY 2004 and forward.	Destroy upon verification of scanning into the Integrated Document Management System (IDMS). If scanning does not occur, paper files are to be retained 6 years and 3 months after debt resolution.			X								
N1-425-04-4	3 c	DMS	Delinquent Debtor Case Files	Copies of case files pertaining to debts forwarded by various Federal agencies for cross-servicing and resolution actions under the Debt Collection Improvement Act of 1996. The records consist of notification letters, medical records and claim forms, summary data information, and related documents. The records are used by the Debt Management Operations Center to collect unresolved debts after an allotted delinquent date. Optical Disk copies of files dated FY 2004 and forward.	Destroy when 6 years and 3 months old.			X								
N1-425-04-4	4	DMS	Banking and Financial Records Supporting Debt Collection Activities	The records consist of court papers, letters, summary documents and other supporting documentation that support debt collection activities.	Close file at end of fiscal year upon debt resolution. Destroy 6 years and 3 months after closure. Records may be transferred to a Federal Records Center when 1 year old and no longer needed for current business.			X								
N1-425-04-4	5	DMS	Treasury Offset Program Bankruptcy Documentation Files	The files consist of copies of personal bankruptcy papers, court notices, attorney communications and related documents submitted to the operations center in support of appropriate debt actions. The files are scanned into a service-wide document management system and referenced when needed to substantiate bankruptcy filings in facilitating offset actions.	Close files at end of fiscal year. Destroy when 5 years old. Records may be transferred to a Federal Records Center when 1 year old and no longer needed for current business.			X								
N1-425-04-4	6	DMS	TOP Correspondence File	Includes correspondence needing no response, requests from recipients for copies of offset notices and other case documentation. Includes paper and electronic mail copies.	Destroy when no longer needed or when 2 years old.			X								
N1-425-04-4	7	DMS	Call Tracking System (CTS)	The Call Tracking System (CTS) is an in-house database tracking system used to track and monitor inquiries from the public, agencies and others about debt actions against them. It was established to receive and service phone inquiries from debtors requesting information concerning outstanding debts owed to the Federal Government. Customer service representatives, who access the CTS for pertinent information about the debt, service callers that are routed to the call center. The system is interfaced with the Treasury Offset Program database where pertinent information about debt actions, in a read-only format, can be accessed for review to assist callers. System data is generated when a call is received by a Customer Service Representative. They can include but are not limited to caller identification, name, date and time, agency codes, notice type, congressional inquiries, resolution codes, debtor type, caller type, authorization type, agency identification, and notes. System information dates 1998 to present.	Archive call history records to compact disk when 2 years old. Delete when 7 years old.			X								

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N1-425-08-1	1	DMS - Office of the Assistant Commissioner	Assistant Commissioner's Office Administrative Files	Reference copies of documents that include correspondence, memoranda and other file material of a housekeeping nature consisting of budget, fiscal, personnel, supply and other operations common to all office as distinguished from the records relating to the specific programs of an individual division or branch	Cut off at the end of each fiscal year Destroy 3 years after cutoff											Existing (2008) schedule stands
N1-425-08-1	2	DMS - Office of the Assistant Commissioner	Assistant Commissioner's Office Subject Files	Correspondence, memoranda, reports and comparable records concerning DMS and program matters These files also include Commissioner staff meeting notes/minutes, printed copies of presentations given by staff member during the year, and initiatives of interest to the Assistant Commissioner	Cut off at the end of each fiscal year Destroy 3 years old after cutoff											Existing (2008) schedule stands
N1-425-08-1	3	DMS - Office of the Assistant Commissioner	DMS Briefing Books	Briefing books in support of the Debt Management Program Hearings are held periodically before various Congressional subcommittees DMS Briefing Book dated September 19, 2001-Congressional Hearings before the House Government Reform Subcommittee on Government Management, Information and Technology; DMS Briefing Book dated November 2002-Congressional Hearings before the House Government Reform Subcommittee on Government Management, Information, and Technology; DMS Briefing Book dated June 2003-Congressional Hearings before the House Committee on Government Reform Subcommittee on Government Efficiency and Financial Management; DMS Briefing Book dated February 2004-Congressional Hearing before the Permanent Subcommittee on Investigations Senate Committee on Governmental Affairs, and DMS Briefing Book dated June 2005-Congressional Hearing before the Permanent Subcommittee on Investigations Senate Committee on Homeland Security and Governmental	Permanent Cut off in 5-year blocks (e.g. CY 2004 - CY 2005) Transfer to the National Archives 5 years after cutoff	X										
N1-425-08-1	4	DMS - Office of the Assistant Commissioner	General Accounting Office (GAO) Audit and Office of Inspector General (OIG) Files	Records documenting GAO and OIG audits of DMS programs and activities The records include, but not limited to, the draft and final GAO audit report findings and DMS responses to the audits in paper form	Cut off audit file at the end of each fiscal year in which all activity is completed. Destroy 3 years after cutoff										GRS 16 item 14 f(2) Review Files	
N1-425-08-1	5	DMS - Office of the Assistant Commissioner	Weekly Reports	DMS submissions to the Weekly Secretary's report and the monthly Office of the Fiscal Assistant Secretary (OFAS) report which are compiled and prepared for all FMS by the Office of the Legislative and Public Affairs	Cut off at the end of each fiscal year Destroy 3 years after cutoff						X					
N1-425-08-1	6	DMS - Office of the Assistant Commissioner	Debt Collection Improvement Act of 1996 (DCIA) Files	Reference copies of correspondence and memoranda with Congressional and Federal agencies, including Treasury Department agencies, email messages, and faxes concerning the development of this statute	Destroy when no longer needed for reference or when superseded or obsolete										Reference copies are nonrecord materials	No retention specified, this is filing instruction
N1-425-08-1	7	DMS - Office of the Assistant Commissioner	Informational Files	Reference materials relating to the assessment of the debt collection process, TOP process, administrative wage garnishment report, selected GAO reports, legislation, oversight hearings, and reports to Congress	Review annually and destroy superseded or obsolete material										Reference copies are nonrecord materials	No retention specified, this is filing instruction
N1-425-08-1	9	DMS - Debt Program Division Director	Exemption Requests File	Debt collection center designation 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	Cut off at the end of each fiscal year in which final determinations are made Destroy when actions are superseded or no longer relevant to current operations							X				
N1-425-08-1	10 a	DMS - Debt Program Division Director	Debt Collection Activity Report	Paper record copy of final reports sent to Congress or the President Includes the "Annual Report to the Congress, U.S. Government Debt Collection Activities of Federal Agencies", the Annual Child Support report, and the Annual Payment Exemption report	Permanent, cut off in 5 year blocks Transfer to the National Archives 5 years after cutoff					X						



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N1-425-08-1	10 b	DMS - Debt Program Division Director	Debt Collection Activity Report	Records relating to the development and transmission of debt collection activity reports to Congress or the President required by legislation or executive order	Temporary, cut off at the end of the fiscal year Destroy 5 years after cutoff						X						
N1-425-08-1	11	DMS - Debt Program Division Director	Designated Debt Collection Center Briefing Book	Master copy of policy, procedures, standards, and guidance on how to request to be designated as a Debt Collection Center	Permanent. Cut off when the guidance is superseded or no longer relevant to current operations. Transfer to the National Archives 5 years after cutoff Current Total Volume One Binder. Annual Accretion. Closed File	X											
N1-425-08-1	12	DMS - Debt Program Division Director	Debt Collection Improvement Act of 1996 (DCIA) Working Files	DCIA drafts correspondence with congressional and Federal agencies, including Treasury Department agencies, email messages and faxes concerning the development of this statute	Destroy when no longer needed for reference or when superseded or obsolete											Existing (2008) schedule stands	
N1-425-08-1	13	DMS - Debt Program Division Director	Managing Federal Receivables Report File	Managing Federal Receivables Reports (8 chapters, 10 appendices) provide guidance on the requirements (stating and updating laws and policies) governing Federal Receivables consistent with DCIA	Destroy when no longer needed for reference or when superseded or obsolete	X											
N1-425-08-1	14	DMS - Debt Program Division Director	Regulation Development File	Drafts, correspondence, and documents related to the development of regulations for the DMS programs. This file includes, but is not limited to, drafts of the Federal Claim Collection process, comments on regulations and proposed rules, copies of the updates and drafts of various Treasury directives and Taxpayer Identification Number (TIN) policy. Arranged by title of regulation.	Destroy when no longer needed for reference or when superseded or obsolete		X										
N1-425-08-1	15	DMS - Debt Program Division Director	Federal Debt Collection Designation Policy and Regulations File	Proposal paper discussing the possibility of establishing Debt Management Servicing Centers to safeguard and protect public monies	Cut off when the comment period is over Destroy 5 years after cutoff		X										
N1-425-08-1	16	DMS - Debt Program Relations Branch	Debt Program Relations Branch Correspondence File	Responses to controlled congressional correspondence assigned by the FMS Office of Legislative and Public Affairs (LPA). Arranged by calendar year.	Cut off at the end of each calendar year. Destroy 2 years after cutoff.								X				
N1-425-08-1	18	DMS - Debt Program Relations Branch	Miscellaneous Correspondence File	Responses to letters received in DMS concerning TOP debt. Correspondence is not received as controlled correspondence from LPA. The copy of the response is arranged by date for periodic review or for convenient reference. Arranged by calendar year.	Cut off at the end of the calendar year in which the response is completed. Destroy 1 year after cutoff.			X									
N1-425-08-1	19	DMS - Debt Program Relations Branch	No Response Necessary Correspondence File	Letters addressed to other agencies, primarily the Internal Revenue Service (IRS), and sent to FMS and others as a courtesy copy. A response by FMS is not necessary for this correspondence. Arranged by calendar year.	Destroy when no longer needed or when 2 years old, whichever occurs first.											Existing (2008) schedule stands	
N1-425-08-1	20	DMS - Debt Program Relations Branch	Bankruptcy Notices	Requests from agencies to inactivate their debts in TOP due to bankruptcy filings. The file also has bankruptcy notices from the Bankruptcy Court to FMS. FMS will inactivate any debt in TOP and send a copy of the Bankruptcy Notice to the agency. File also contains a print of the TOP record showing inactivated status. Arranged by calendar year.	Cut off at the end of each calendar year. Transfer to the Washington National Records Center (WNRC) 1 year after cutoff. Destroy 5 years after cutoff.			X									
N1-425-08-1	21	DMS - Debt Program Relations Branch	Agreements Files	Memorandums of Understanding (MOUs) and Service Level Agreements (SLAs). Some examples of the types of agreements the branch has include an MOU with IRS for Tax Levy; and SLAs with various payment agencies, both Treasury and non-Treasury disbursing agencies, to send their payments through TOP for offset. These files include one-page agreements between IRS, FMS, and various program agencies to levy payments for outstanding debts.	Cut off agreements at the end of the calendar year in which they were closed. Transfer to Washington National Records Center (WNRC) 2 years after cutoff. Destroy 7 years after cutoff.							X					

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N1-425-08-1	22 a	DMS - Debt Program Relations Branch	Treasury Offset Program Infrastructure and Implementation Files	Documents such as emails and memos, to and from states, Federal agencies, the Office of Child Support Enforcement, and contractors for development of TOP. Files also include requirement documents and system development documents for TOP, project plans, drafts, notes and material accumulated in the development of the TOP system, contracts, Joint Application Development sessions and walk-throughs. These files are historical in nature and provide a blueprint of the development of the TOP system. To meet the requirements of the DCIA of 1996, FMS was required to develop a centralized collection system for government agencies to collect their delinquent debts. The TOP system is critical to the DMS' mission to collect non-tax delinquent debts. These files document the meetings and various other events that transpired in the development of the TOP system from its inception. TOP records exclusive of those listed in item 22b below.	Temporary, destroy 5 years after the project is terminated.										GRS 20 Sys Doc	
N1-425-08-1	22 b	DMS - Debt Program Relations Branch	Treasury Offset Program Infrastructure and Implementation Files	Documents such as emails and memos, to and from states, Federal agencies, the Office of Child Support Enforcement, and contractors for development of TOP. Files also include requirement documents and system development documents for TOP, project plans, drafts, notes and material accumulated in the development of the TOP system, contracts, Joint Application Development sessions and walk-throughs. These files are historical in nature and provide a blueprint of the development of the TOP system. To meet the requirements of the DCIA of 1996, FMS was required to develop a centralized collection system for government agencies to collect their delinquent debts. The TOP system is critical to the DMS' mission to collect non-tax delinquent debts. These files document the meetings and various other events that transpired in the development of the TOP system from its inception. Initial installation and testing records.	Temporary, destroy 5 years after final decision or acceptance is made.										GRS 20 Sys Doc	
N1-425-08-1	23	DMS - Debt Program Relations Branch	Disclosure Awareness Training File	Files include sign in sheets for people who have received the training and a signed certificate to verify training was received. The file is arranged by calendar year for each of FMS's building locations. Also included are schedules for training at each location. FMS is required by the IRS to provide annual training on policies and procedures for safeguarding Federal Tax Information. Files are arranged by calendar year. Starting in 2005 the training is on-line and the file contains a CD of the on-line training and reports generated to show participation.	Cut off the file at the end of each calendar year. Destroy 6 years after cutoff.								X			
N1-425-08-1	24	DMS - Debt Program Relations Branch	TOP and TRO Weekly Statistics Reports File	Reports that are generated weekly and include statistics of the number and amounts of tax refund offsets and administrative offsets for child support and Federal non-tax debts. These statistics are submitted to LPA for the Weekly secretary report and monthly OFAS report.	Cut off at the end of each fiscal year. Destroy 5 years after cutoff.						X					
N1-425-08-1	25	DMS - Debt Program Relations Branch	Salary Offset Reports File	Reports that are generated monthly and include statistics of the number and amounts of salary offsets. These statistics are submitted to LPA for the Monthly Secretary and OFAS reports.	Cut off at the end of each fiscal year. Destroy 5 years after cutoff.						X					

RECORDS SCHEDULE	ITEM	ORGANIZATION	RECORD SERIES	DESCRIPTION	CURRENT DISPOSITION	RECORD SCHEDULE N1-425-09-01										GENERAL RECORDS SCHEDULES	COMMENTS
						Item 1 a. Policy Records (permanent)	Item 1 b. Policy Records (temporary)	Item 2 Federal Program Agency Operations Records	Item 3. Treasury Program Operations Records	Item 4 a. Consolidated Reports (permanent)	Item 4 b. Consolidated Reports (temporary)	Item 5 a. Prog/ Proj Mgmt Records (used throughout program)	Item 5 b. Prog/ Proj Mgmt Records (subject files)	Item 5 c. Prog/ Proj Mgmt Records (program administra- tion)			
N1-425-08-1	26	DMS - Debt Program Relations Branch	Safeguard Activity and Procedure Report File	IRS requires FMS to report how FMS safeguards Federal tax information and how tax information is processed by FMS. Safeguard Activity Reports to the IRS outlines FMS' compliance with IRS regulatory standards. The report describes the security procedures and system processes in which FMS safeguards Federal Tax information. The Safeguard Procedures Reports to the IRS is a record of how tax information received from IRS is processed by FMS. Files are arranged by calendar year.	Cut off file at end of each calendar year. Destroy 6 years after cutoff.						X						
N1-425-08-1	27	DMS - Debt Program Relations Branch	Debtor Contact Files	Records of phone calls to DMS headquarters from debtors with offset concerns. This function is now automated and located in the Birmingham Debt Management Operations Center call center.	Cut off at the end of each calendar year. Destroy 7 years after cutoff.			X									
N1-425-08-1	28	DMS - Debt Program Relations Branch	Background Hearing File	Background hearing files for congressional hearings and reference copies of responses to requests from Congressional Committees, OMB, and/or Treasury General Counsel on proposed legislation with implications on Treasury fiscal policy and procedures.	Cut off at the end of each calendar year. Destroy 3 years after cutoff.		X										
N1-425-08-1	29	DMS - Debt Program Relations Branch	Background Investigation File	Files are requests from the Office of Personnel Management (OPM) received by FMS for debt-related information. These requests are also received from the Department's Office of Inspector General (OIG). This file contains the requests and background information to obtain the responses for OPM and/or the OIG.	Cut off in the calendar year in which the background investigation is completed. Destroy 5 years after cutoff.			X									
N1-425-08-1	32	DMS - Debt Program Support Branch	Agency Profiles	Profiles files on federal agencies participating in TOP. The records provide detailed descriptions of the manner in which FMS will service and be compensated for managing an agency's debt portfolio. The profile provides various contact information that allows DMS to respond to debt inquiries made by the debtor.	Cut off each profile agreement at the end of the fiscal year in which the Creditor Agency requests closure. Transfer closed files to the WNRC 2 years after cutoff. Destroy 7 years after cutoff.							X					
N1-425-08-1	33	DMS - Debt Program Support Branch	Defense Finance and Accounting Service (DFAS) letters	Correspondence files consisting of letters from DFAS debtors to DMS inquiring about their debt disposition in TOP. The files also include DMS' responses which refer the debtors to DFAS for problem resolution.	Cut off at the end of each calendar year in which the inquiry is resolved. Transfer to the WNRC 2 years after cutoff. Destroy 7 years after cutoff.			X									
N1-425-08-1	34	DMS - Debt Program Support Branch	Annual Debt Certification Agreements	Annual agreements certifying that the debt records submitted to TOP by Agencies, States, and Clients (low volume Agencies) are correct.	Cut off at the end of each fiscal year in which agreements expire. Transfer to the WNRC 2 years after cutoff. Destroy 7 years after cutoff.								X				
New			Debt Check	Information content of the Debt Check system. Debt Check contains information extracted from the TOP database which is used to confirm whether potential recipients of federal financial assistance owe delinquent nontax debt to the federal government.				X									
New			Debt Check	Records used to create, use, maintain, document, and secure the system, and to extract information without altering the information content.											GRS 20 and GRS 24, various items		
New			DMIS/ TROR	Information content in the Debt Management Information System/ Treasury Report on Receivables (DMIS /TROR) from federal agencies on the status and condition of the federal government's nontax debt portfolio. Includes eligible and actual referrals and information on receivables.				X									

RECORDS SCHEDULE	ITEM	ORGANIZATION	RECORD SERIES	DESCRIPTION	CURRENT DISPOSITION	RECORD SCHEDULE N1-425-09-01										GENERAL RECORDS SCHEDULES	COMMENTS
						Item 1 a. Policy Records (permanent)	Item 1 b. Policy Records (temporary)	Item 2. Federal Program Agency Operations Records	Item 3. Treasury Program Operations Records	Item 4 a. Consolidated Reports (permanent)	Item 4 b. Consolidated Reports (temporary)	Item 5 a. Prog/ Proj Mgmt Records (used throughout program)	Item 5 b. Prog/ Proj Mgmt Records (subject files)	Item 5 c. Prog/ Proj Mgmt Records (program administration)			
New			DMIS/ TROR	Information content in the Debt Management Information System /Treasury Report on Receivables (DMIS / TROR) used by FMS, OMB and others to monitor agency compliance with the Debt Collection Improvement Act of 1996					X								
New			DMIS/ TROR	Records used to create, use maintain, document, and secure the system, and to extract information without altering the information content											GRS 20 and GRS 24, various items		
New			DMS applications on IDMS	Information content in the DMS applications on the Integrated Database management System (IDMS) platform Includes correspondence and check images				X									
New			DMS applications on IDMS	Records used to create, use, maintain, document, and secure the system, and to extract information without altering the information content											GRS 20 and GRS 24, various items		
New			FedDebt	Information content in the FedDebt system used to perform debt collection Includes collection files and debt payment, offset, and reversal information				X									
New			FedDebt	Information content in the FedDebt system used to manage and monitor the effectiveness of the debt management program and private collection agencies					X								
New			FedDebt	Records used to create, use, maintain, document, and secure the system, and to extract information without altering the information content.											GRS 20 and GRS 24, various items		
New			TOP/CTS	Information content in the Treasury Offset Program/Call Tracking System (TOP/CTS) used to perform offsets and respond to inquiries Includes information on delinquent debts owed to federal and state governments and matches for the purpose of or levying payments to recoup monies owed				X								Deleted proposed extended retention period for history records needed to reverse offsets in IRS "injured spouse" cases	
New			TOP/CTS	Information content in the Treasury Offset Program/Call Tracking System (TOP/CTS) used to manage and monitor the debt management program Includes call statistics and other information used to monitor TOP Call Center performance					X								
New			TOP/CTS	Records used to create, use, maintain, document, and secure the system, and to extract information without altering the information content of master files and databases											GRS 20 and GRS 24, various items		
New			Policy directives	Policy directives including information pertaining to Debt Management Services in the Field Operations Manual (FOM), the Treasury Financial Manual (TFM), and TFM supplements such as "Managing Federal Receivables", "Guide to the Federal Credit Bureau Program", and the "Instructional Workbook for preparing the 'Treasury Report on Receivables and Debt Collection Activities'"		X										"Managing Federal Receivables" was already scheduled as permanent by N1-425-08-1 item 13.	