

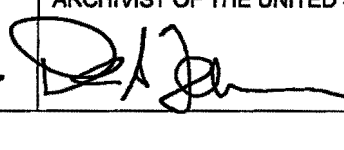
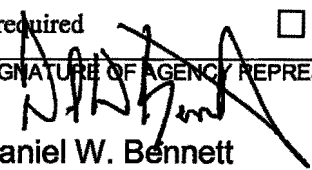
INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-058-09-040

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

Items 200A, 201A and B, 202, 209, and 214 are superseded by DAA-2017-0016-0001.
Items 203, 207, and 216 are superseded by DAA-2017-0016-0002.
Items 208, 210, 225, 226, and 227 are superseded by DAA-2017-0016-0003.
Items 209, 212, 213, and 215 are superseded by DAA-2017-0016-0011.
Item 217 is superseded by DAA-2017-0016-0012.
Item 218 is superseded by DAA-2017-0016-0005.
Items 219 and 233 are superseded by DAA-2017-0016-0004.
Item 220A DAA-GRS-2017-0006-0022.
Item 220B DAA-GRS-2017-0006-0025.
Item 222 is superseded by DAA-GRS-2016-0014-0003.
Items 211, 224, and 232 are superseded by DAA-2017-0016-0006.
Item 228 is superseded by DAA-2017-0016-0008.
Item 229 is superseded by DAA-2017-0016-0009.
Item 230 is superseded by DAA-2017-0016-0013.
Item 231 is superseded by DAA-2017-0016-0014.
Item 234A is superseded by DAA-GRS-2013-0003-0001.
Item 234B is superseded by DAA-GRS-2016-0001-0001.
Item 200B is non-record copies.
Item 204A and C were not approved.
Items 204B and D, 205, 206, 221, and 223 are no longer created.

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-058-09- 40	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 6/24/09	
1. FROM (Agency or establishment) Department of Treasury		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Internal Revenue Service (IRS)			
3. MINOR SUBDIVISION SB/SE, Business Re-engineering (PDC)			
4. NAME OF PERSON WITH WHOM TO CONFER Daniel W. Bennett Carla S. Farris	5. TELEPHONE NUMBER (202) 435-6337 (816) 291-9941	DATE 11 Aug 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 <u>20</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 6/17/2009	SIGNATURE OF AGENCY REPRESENTATIVE  Daniel W. Bennett		TITLE IRS Records Officer National Office, OS:A:RE:SC Washington, DC 20224
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	RCS 1.15.28 Records Control Schedule for Collection 1). Add a new Section to RCS 28 after Item 169 entitled PRIVATE DEBT COLLECTION (PDC) PROGRAM RECORDS Items 200 – 234. 2). Add all new items to the Alphabetical Index at the end of IRM 1.15.28. 3). Add all new Forms to the Forms Listing at the end of IRM 1.15.28. The records are owned by the Small Business/Self Employed, Private Debt Collection (PDC) Program. See Attached.		

Background:

On October 22, 2004, President Bush signed the American Jobs Creation Act that created a new Section 6306 of the Internal Revenue Code to permit private collection agencies (PCAs) to help collect federal tax debts. This action was intended to benefit the IRS in three major ways.

First, PCAs were intended to help reduce a significant and growing amount of tax liabilities as un-collectible due to IRS collection and resource priorities, the idea being that many of these accounts could be collected if the taxpayer were contacted and offered the opportunity to pay either in full or in installments.

Second, PCAs were intended to help maintain confidence in our tax system. The IRS's inability to pursue all outstanding tax liabilities not only harms the fiscal budget but also undermines voluntary compliance by allowing some taxpayers to pay less than their fair share. The use of PCAs to support the IRS's overall collection was envisioned to enable the IRS to efficiently address a significant number of cases that were uncollected and were not being worked.

Third, in the long run, PCAs were intended to enable the IRS to focus its existing collection and enforcement resources on more difficult cases and issues. Doing so was thought to make IRS resources available for other cases that the IRS may not have been pursuing fully at the time and that could not be referred to a PCA.

PCAs were not intended to replace internal IRS collection resources. They were intended to handle cases that did not require enforcement action or the exercise of discretion in resolving tax liabilities. Initially there were a number of PCAs working the Program. This number was reduced over time such that by FY 2009 only two PCAs remained. On March 5, 2009 the Internal Revenue Service announced that it would not renew the contract of these two entities effective October 1, 2009. This action effectively ended the Private Debt Collection Program which will ramp-down completely in FY 2010. All dispositions and retentions in this schedule recognize the finality of this event.

RCS/28,
Items 200
- 234**Description:****PRIVATE DEBT COLLECTION RECORDS**

200.

Closed Tax Delinquency Account (TDA) Case Files (assigned to Private Collection Agencies)

NEW

A. Closed Tax Delinquency Account (TDA) Case Files assigned to Private Collection Agencies – also referred to as PDC Case Files – include all documentation for cases worked by the PCAs. The contents of TDA Case Files worked by the PCAs include: Forms 433F; Forms 2159; Forms 4442 Referral; Levy Releases, Opt Out requests received from taxpayers, IA Request Forms, copies of Forms referred to other areas, etc.

Superseded by Job / Item number:

DAA - 0058-2017-0016-0001

Date (MM/DD/YYYY):

05/21/2018**Disposition:**

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Destroy 3 years after cutoff.

*Note - Some of these documents have been scanned and may now reside in electronic formats at the PCA – PCAs are required to implement this schedule as approved).

B. All other copies of PCA Case File documentation previously sent to the IRS and included in the Official TDA Case File. These copies replicate materials filed in the Official IRS Case File.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Destroy immediately.

OBSOLETE - Non-reward reference
copies
05/21/2018
- Rania Mahmud, R/L

201.

Private Collection Agency Case Histories

NEW

Private Collection Agency Case Histories include automated Case Management System records of all actions taken on a case since its assignment to the PCA. These records are acquired from the IRS via Registered User Portal and Employee User Portal and are considered history of record of the case.

This history includes, but is not limited to:

1. Module and entity information provided by IRS (TIN, address, phone numbers, balances due, payments, interest, penalty, etc.),
2. Records of all incoming and outgoing contacts (correspondence and/or telephone) with the taxpayer,
3. Attempts to locate the taxpayer, and
4. Records of contact to/from the IRS Referral Unit.

A. Temporal Recall Case histories – These cases have been recalled, from the PCA, due to the length of time they have been assigned. During the recall process, the cases histories for these cases are electronically transferred to the IRS on CD-ROM or through the Tumbleweed system. These case histories are used by the IRS in determining case dispositions. The case history of record remains at the PCA until final contract expiration.

Disposition:

TEMPORARY. Destroy IRS copy of temporal recall case history when no longer needed for administrative, legal, audit, or other operational purposes.

B. All Case Histories from PCAs are transferred to the IRS by paper or electronically on CD or through the Tumbleweed system, at closeout of program or final contract expiration.

Disposition:

TEMPORARY. Transfer case histories to IRS Contracting Officer Technical Representative (COTR) on CD-ROM, 7 days prior to the expiration of the final contract period. Remove from PCA system after received and acknowledged by IRS. Destroy IRS record copy of case history 3 years after receipt, or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is sooner.

Superseded by Job / Item number:

DAA-0058-2017-0016-0001

Date (MM/DD/YYYY):

05/21/2018

Superseded by Job / Item number:

DAA-0058-2017-0016-0001

Date (MM/DD/YYYY):

05/21/2018

*Note – Digital Case History records received from PCAs that cannot be accessed on IRS computers due to proprietary software issues and/or IRS Cybersecurity concerns can be destroyed/deleted after termination of contract with the PCA.

202.

Recall Acknowledgement Reports

When the IRS issues a systemic request to cease all collection activity on an account this systemic request will be present on the regular Private Collection Agency (PCA) transaction file as a recall. The PCA is required to acknowledge receipt of the recall transaction and stop all collection activities. The Recall Acknowledgement Report lists TINs that the PCA has identified as being recalled. From this listing the Referral Unit (RU) verifies that all cases have been recalled and the appropriate letter has been sent. The RU takes the appropriate actions to follow-up on cases that have not been acknowledged within established time frames. The list includes the taxpayer TIN, Name control, date of recall, date of acknowledgement, and appropriate category code.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Destroy 3 years after cutoff.

NEW

Superseded by job / item number:

DAA-0058-2017-0016-0001

Date (MM/DD/YYYY):

05/21/2018

203.

Overage Case Inventory Reports

Overage Case Inventory Reports are used to monitor cases and assist in managing Private Collection Agency case inventory.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Destroy 3 years after cutoff.

N1-058-90-3
Item 11

Superseded by job / item number:

DAA-0058-2017-0016-0002

Date (MM/DD/YYYY):

05/21/2018

204.

CACS-G Case Files System

NEW :

Filing and Payment Compliance (F&PC) supports the IRS in the collection of unpaid delinquent taxes by assisting in the reduction of backlogged accounts. It uses the enhanced COTS software product CACS-G and Enterprise Architecture Integration Broker (EAIB) query and update services to select and deliver tax cases. Selected tax cases are sorted and then made available via a secured network to Private Debt Collection Agencies (PCAs). The CACS-G is hosted by the Enterprise Computing Center - Martinsburg, West Virginia (ECC-MTB).

A). Inputs

Inputs to CACS-G include the electronic transfer of data on delinquent accounts from various systems used by Filing and Payment Compliance.

GRS 20.2

Disposition:

TEMPORARY. Cut off at end of fiscal year in which Business Reviews are conducted. Delete/Destroy immediately.

B). CACS-G Database**Disposition:**

TEMPORARY.

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Delete/Destroy 3 years after cutoff or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is earlier.

INACTIVE - Records are no longer created due to changes in technology.
05/21/2018
-Rania Mahmoud, R/M

C). Outputs

Outputs to CACS-G include, but are not limited to, system backups, management information, reports (Business Error Reports, PCA Placement Report, Processing Error Report, Quality Pull List Report, etc.)*, electronic transfers of data, audit trail listings and reports, or equivalent documentation in both hard copy and digital formats.

GRS 20.5

*Excluding CACS-G BO Reports.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 1 year after cutoff or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is earlier.

D). System Documentation for CACS-G

System Documentation for CACS-G includes, but is not limited to, codebooks, records layout, user guide, and other related materials.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 5 years after cutoff.

INACTIVE - Records are no longer created due to changes in technology
06/21/2018
-Rania Mahmoud, RMM

205.

CACS-G System BO Reports

CACS-G System BO Reports include: TC 971 AC054 Reports; All Active Cases Reports (Entity and Module Level); Business Error Reports; installment Agreement Reports (Entity and Module Level); Outstanding Recall Reports; PCA Activity Reports; Recall Exception Reports; and any additional reports added the CACS-G System BO Report templates.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 1 year after cutoff.

NEW

INACTIVE - Records are no longer created due to changes in technology.
05/21/2018
Rania Mahmoud, RMM

206.

CACS-G Audit Records - System Access

CACS-G System Access is carefully monitored and controlled. The audit files include records of the on-going audit trail produced by the CACS-G. The audit trail contains records of all accesses to CACS-G and includes pertinent reference information, e.g. TIN, MFT, Tax Period, Date, Time, Employee Number, etc.

NEW

INACTIVE - Records are no longer created due to changes in technology.
05/21/2018
-Rania Mahmoud, RMM

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 6 years after cutoff.

207.

Private Debt Collection Internal Control Documents

Internal Control Documents for the Private Debt Collection Program include, but are not limited to: Weekly Production Reports - The weekly report contains: 1) Case inventory levels; 2) Case Status Summary; 3) Case Resolution Summary; 4) Complaints Received; 5) Other Case Activity; 6) Telephone Summary Activity; Temporal Recall Case Closure Tracking Reports - This report is used to track the disposition of cases that are returned and worked by the Referral Unit (this report is also used to monitor cases returned during the close-out process); User Fee Report - The IA User Fee Report displays accounts with a TC 971 AC 063 (PCA monitored IA) that have not been charged a user fee; Weekly Letter Reconciliation Breakdown - The spreadsheet balances the data from the IRS files that are sent to the PCAs with the PCAs initial contact letter volumes to taxpayer/POAs; Telephone Reports - Outbound Telephone Reports - These reports contain the following information: 1) TIN; 2) Date of the Call; 3) Time of the Call and time zone at originator location; 4) Time of call and time zone at taxpayer location; 5) Time Zone Variance Indicator (* if taxpayer time zone is different from Call originator time zone); 6) Person(s) contacted-Name of TP, 3rd party, POA/TIA; 7) Right Party Contact (Y or N); 8) Phone Number Dialed; 9) Call initiator (Assistor's name if assistor initiated or became involved in call or "+" if automated dialer is used to dial the outbound call and an assistor was not involved with the call; 10) Originating phone number; 11) Whether or not they were offered the Taxpayer Satisfaction Survey; Inbound Telephone Reports - These reports contain the following information: 1) Date of call; 2) time of the call (at PCA's office); 3) Time Zone (of person calling PCA); TIN; 4) person spoken to and that person's phone number; 5) Assistor's Name (the PCA employee who handled the call);

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Item 8

Superseded by job / item number:

DAA-0058-2017-0016-0002

Date (MM/DD/YYYY):

05/21/2018

6) Whether or not they were offered the Taxpayer Satisfaction Survey.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.

Delete/Destroy 1 year after cutoff.

208.

Private Debt Collection Operational Planning Documents

Private Debt Collection Program Planning Documents include, but are not limited to the Contractor's Management Plan, Private Collection Agency Operational Plan, and Private Collection Agency Standard Operations Plan (SOP).

*Note - This file contains proprietary information and should only be accessed by authorized personnel.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.

Delete/Destroy 5 years after cutoff.

209.

Business Review Reports of Private Debt Collection Activities

Private Debt Collection Activity reports to IRS Collection Management and Private Debt Collection Management for inclusion in the Business Review. This documentation includes, but is not limited to, Monthly and Quarterly Summarizations; Private Debt Collection Scorecards; Performance Evaluative Reports; FISMA and other Security Briefing Reports used in the Business Review; Transaction Category Reports (TRCAT); Dollar Stratification Reports (DOLCAT); Safeguard Procedures and Activities Reports; Personnel Rosters and Staff Listings; Monthly Staffing Reports; Production Reports; Quarterly On-Site Performance Review Reports; Quarterly Evaluation Reports; Monthly Telephone Reports; IRS Compliance Review Reports; Operational Review Reports; Oversight Unit and Quality Reports; and other similar documentation used in the conduct of various business reviews and reporting.

NEW

Superseded by job / item number:

DAA-0058-2017-0016-0003

Date (MM/DD/YYYY):

05/21/2018

NEW

Superseded by job / item number:

DAA-0058-2017-0016-0011

Date (MM/DD/YYYY):

05/21/2018

Disposition:

TEMPORARY. Cut off at end of fiscal year in which Business Reviews are conducted.
Delete/Destroy 10 years after cutoff.

210.

Private Debt Collection Administrative-Advisory Council Records

Records developed for the Private Debt Collection Administrative-Advisory Council. These files include studies, analysis, and correspondence, which established the policies, practices, and program for Private Debt Collection. Included are organizational changes, functional realignments and responsibilities, and long and short range planning documents. These files also include memorandums and advisory opinion documents received in response to questions/issues. This guidance was used to develop policies and procedures in the Private Debt Collection

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 10 years after cutoff.

NEW

Superseded by job / item number:

DAA-0058-2017-0016-0003

Date (MM/DD/YYYY):

05/21/2018

211.

Private Debt Collection Trend and Process Analyses and Reports

Reports developed by Private Debt Collection for trend analysis and program evaluation. The files contain in house analysis that is not dictated through the Treasury Inspector General for Tax Administration, GAO or legislative mandate. The reports include a breakdown of observations and recommendations for modification to current procedures or processes based on a detailed analysis of the data.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 2 years after cutoff.

NEW

Superseded by job / item number:

DAA-0058-2017-0016-0006

Date (MM/DD/YYYY):

05/21/2018

212.

Narrative Quality Review Reports of Private Debt Collection Activities

The Embedded Quality Review System (EQRS)/National Quality Review System (NQRS) allow input of data for organizational quality reviews. EQRS/NQRS serve as vehicles to evaluate contractor performance through reviews. EQRS/NQRS are used by the Oversight quality analysts to capture data obtained from reviewing cases. The narrative information developed from EQRS/NQRS data is not used to assess individual performance and is scheduled separate of other Quality Data in those systems (see IRM 1.15.31, Item 10/2).

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Destroy 3 years after cutoff.

NEW

Superseded by job / item number:

DAA-0058-2017-0016-0011

Date (MM/DD/YYYY):

05/21/2018

213.

EQRS/NQRS Output Reports of Private Debt Collection Activities

The Embedded Quality Review System (EQRS)/National Quality Review System (NQRS) allow outputs of report data for organizational quality reviews. EQRS/NQRS serve as vehicles to evaluate contractor performance through reviews. EQRS/NQRS are used by the Oversight quality analysts to capture and report data obtained from reviewing cases.

Disposition for this item is already approved (see N1-058-6-2, Item B). PCAs and the Private Debt Collection Program should use this authority when deleting/destroying PCA related EQRS/NQRS output quality reports.

Disposition:

TEMPORARY. Destroy when superseded or no longer needed.

N1-058-6-2
Item (B)(1)

Superseded by job / item number:

DAA-0058-2017-0016-0011

Date (MM/DD/YYYY):

05/21/2018

214.	<p>Private Debt Collection Audio Digital Recordings -- Non-Evaluative-Centralized Quality</p> <p>Private Debt Collection Audio Digital Recordings including original recorded conversation between Private Collection Agency employees and taxpayers regarding collections on accounts. These conversations are used to measure contractor quality and compliance.</p> <p>Disposition:</p> <p>TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Delete/Destroy 18 months after cutoff.</p>	<p>IRM 1.15.31 Item 10(2)(B)(1)</p> <p>Superseded by job / item number: <u>DPA-0058-2017-0016-0001</u> Date (MM/DD/YYYY): <u>05/21/2018</u></p>	
215.	<p>Joint Private Debt Collection Operating Unit (OU) Quality Assurance (QA)/Consistency Meetings and Minutes</p> <p>Meeting Minutes of quality consistency meetings. Consistency Sessions attended by both PCA supervisory/quality staff members and IRS management are scheduled monthly. These Joint Sessions are designed to share information and for process improvement discussions.</p> <p>Disposition:</p> <p>TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Delete/Destroy 3 years after cutoff.</p>	<p>NEW</p> <p>Superseded by job / item number: <u>DPA-0058-2017-0016-0011</u> Date (MM/DD/YYYY): <u>05/21/2018</u></p>	
216.	<p>Private Debt Collection Customer Satisfaction Surveys</p> <p>The Private Debt Collection Program conducts monthly customer satisfaction surveys of the Program and Private Collection Agency activities. These files include Monthly and Quarterly Survey Results since inception of the Program. Monthly reports are saved to the PDC Program Shared Drive. Quarterly Reports include the cumulative results from the three previous months and are stored on CD-ROM.</p>	<p>NEW</p> <p>Superseded by job / item number: <u>DPA-0058-2017-0016-0002</u> Date (MM/DD/YYYY): <u>05/21/2018</u></p>	

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Retire to the Records Center 2 years after cutoff.
Delete/Destroy 15 years after cutoff.

217.

Private Debt Collection Complaint Files and Complaint Logs

The Private Debt Collection Program Complaint Files and Complaint Logs include, but are not limited to: Complaint Activity Form; Complaint/Concern Activity Report; Complaint Documentation; Complaint Logs & Responses - copies of all mail, complaint log notations, and any other notes of verbal complaints; hard copies of the affected cases; written complaint or notes of verbal complaints; written disputes; written notification from IRS that complaint/concern has been resolved.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 3 years after cutoff.

218.

Private Debt Collection Letters and Letter Development Files

Letters and Letter Development Files contain background and template design materials for the development of Letters, Notices, and other formatted materials specific to the Private Debt Collection Program. These are filed separate of other similar records maintained by Media and Publications.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 10 years after cutoff.

NEW

Superseded by Job / Item number:

DAA-0058-2017-0016-0012
Date (MM/DD/YYYY):05/21/2018NC1-058-81-10
Item 5

Superseded by Job / Item number:

DAA-0058-2017-0016-0005
Date (MM/DD/YYYY):05/21/2018

219.

Private Debt Collection Handbooks and Guides Development Files

The Handbook and Guides Development Files contain background, draft materials, and Official copies for the policies, procedures, and guides (Handbooks) specific to the Private Debt Collection Program. These files include, but are not limited to: the PDC COTR Handbook; PCA Policy & Procedure Guide (Pub 4708); RU Policy & Procedure Guide; Reports Handbook; Quality Handbook. The Private Debt Collection Program uses the services of the Private Collection Agencies (PCA), Referring Units(RU), Contract Representatives (COTRS), and Quality Analysts (QA) to function. Each group has a "handbook" which outlines their responsibilities. The PCA Policy & Procedure Guide has been converted into a publication. These are filed separate of other similar records maintained by Media and Publications.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 10 years after cutoff.

NC1-058-81-10
Item 6

Superseded by Job / Item number:

DAA-0058-2017-0016-0004

Date (MM/DD/YYYY):

05/21/2018

220.

Background Investigation Case Files and Associated Documentation for Private Debt Collection Personnel

Documents filed in the Background Investigation Case Files for Private Debt Collection Personnel include, but are not limited to: 1) 13760 Personal Identify Verification of Federal Employees & Contractors; SF-85P Questionnaire for Public Trust Positions; I-9 Employment Eligibility verification (copy of form on file with employer, needed only if employee is a resident alien); Form 13340 Fair Credit & Reporting Act Disclosure and Authorization; Non-Disclosure Agreement Form; Consent to Disclosure of Tax Information; FD258 Fingerprint Card; Risk Assessment Checklist - RAC - (Completed by COTR); Record of status of investigation; Official memorandum when interim & final approval is granted; and/or Notification of employee separation. Copies of approval letters, interim letters, RACs, and copies of background

NEW

investigation lists are maintained by the COTR for program documentation.

A). Background Investigation Case Files (of individual contractor personnel)

Disposition:

TEMPORARY. Retire to Records Center 2 years after date of report, final legal action, or final administrative action, whichever is appropriate. Destroy 16 years after date of final report, final legal action, or final administrative action.

B). Other Documentation associated with Background Investigations of Private Debt Collection Agencies (e.g. Approval Letters, RACs, Investigation Listings).

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Delete/Destroy 2 years after cutoff.

221.

Private Debt Collection Training Files

Private Debt Collection Agencies are required to adhere to IRS internal requirements for training personnel in collections, disclosure, and other processes and practices. Private Debt Collections Training Files include information regarding the management of the training program including, but not limited to: Training materials, rosters of staff trained, and other documents indicating the type, duration, and specific training provided to personnel.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Delete/Destroy 1 year after cutoff.

Superseded by job / item number:

DAA-GRS-2017-0006-0022

Date (MM/DD/YYYY):

05/21/2018

Superseded by job / item number:

DAA-GRS-2017-0006-0025

Date (MM/DD/YYYY):

05/21/2018

NC1-058-85-10
Item 23

INACTIVE - Records are no longer created & all records for this series have been dispositioned.

-05/21/2018

-Renia Mahmood, ERM

222.

Private Debt Collection Annual Briefing Certifications

Private Debt Collection Agencies are required to adhere to IRS internal requirements for conduct of annual briefings. Private Debt Collection Annual Briefings Certifications Files include, but are not limited to: Annual Briefing Verification; signed by each contractor & subcontractor employee upon completion; Taxpayer Rights & TAS Awareness Briefing Certification Forms; Security & Privacy Information Briefing Certification Forms; IRS RRA98 Section 1203 Awareness Briefing Certification Forms; Privacy Awareness Briefing Certification Forms; Disclosure and Safeguards Awareness Briefing Certification Forms; and UNAX forms.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 2 years after cutoff.

NEW

Superseded by Job / Item number:

DAA-BRS-2016-0014-0003

Date (MM/DD/YYYY):

05/21/2018

223.

Correspondence Files – Congressional Inquiries relating to Private Debt Collection

Includes general Congressional inquiries, requests from Congressional members and staff, Reports of the Joint Committee on Taxation (JCT), updates on Senator Grassley and related activities, GAO Reports, updates to GAO Reports, and draft responses, and copies of final responses.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 2 years after cutoff.

NEW

OBsolete - Nonrecord, reference
copies from legislative office
05/21/2018
-Renia Mahmood, Rm

224.

Private Debt Collection Mailbox Inquiry Responses

Inquiries and responses regarding the Private Debt Collection Program from the General Public, assigned taxpayers, practitioners, as well as other Private Collection Agencies requesting information on how to be part of the program.

NC1-058-83-6
Item 2

Superseded by Job / Item number:

DAA-0058-2017-0016-0006

Date (MM/DD/YYYY):

05/21/2018

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 6 months after cutoff.

225.

Private Debt Collection Security Plans and related records

Private Collection Agencies are required to develop extensive plans for securing documentation, especially regarding taxpayers, from unauthorized access or damage. Security Plan Files include planning documents, annual plans, reviews of plan, and reports regarding security issues.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 1 year after cutoff.

226.

Private Debt Collection IT Security Plans and related records

Private Collection Agencies are required to develop extensive plans for securing documentation, especially regarding taxpayers, from unauthorized access or damage. Separate plans for IT security are required. IT Security Plan Files include risk assessment planning documents, surety planning documents, annual plans, reviews of plan, and reports regarding security issues.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 1 year after cutoff.

NEW

Superseded by job / item number:

DAA-0058-2017-0016-0003

Date (MM/DD/YYYY):

05/21/2018

NEW

Superseded by job / item number:

DAA-0058-2017-0016-0003

Date (MM/DD/YYYY):

05/21/2018

<p>227.</p>	<p>Private Debt Collection Disaster Plans, Business Continuity Plans and related records</p> <p>Private Collection Agencies are required to develop extensive plans for protecting documentation, especially regarding taxpayers, damage due to various disasters (manmade and natural). Disaster Plan Files include planning documents, annual plans, reviews of plan, and reports regarding mitigating disaster related issues, as well as plans on conduct of business during such events.</p> <p>Disposition:</p> <p>TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Delete/Destroy 1 year after cutoff.</p>	<p>NEW</p> <p>Superseded by job / item number:</p> <p><u>DAA-0058-2017-0016-0003</u></p> <p>Date (MM/DD/YYYY): <u>05/21/2018</u></p>	
<p>228.</p>	<p>Private Debt Collection Transmittal and Receipt Records (including Forms 3210)</p> <p>Private Debt Collection Agencies are required to adhere to IRS internal requirements for transmittal and receipt control of taxpayer information. Forms 3210 are required for use as receipts and transmittal records when transferring taxpayer information between offices (e.g. from the IRS to the PCA).</p> <p>Disposition:</p> <p>TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Delete/Destroy 1 year after cutoff.</p>	<p>NC1-058-80-6 Item 91</p> <p>Superseded by job / item number:</p> <p><u>DAA-0058-2017-0016-0008</u></p> <p>Date (MM/DD/YYYY): <u>05/21/2018</u></p>	
<p>229.</p>	<p>Private Debt Collection Certified and Registered Mail Records</p> <p>Private Debt Collection Agencies are required to adhere to IRS internal requirements for certified and registered mail in accordance with IRS Publication 4708.</p> <p>Disposition:</p> <p>TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated. Delete/Destroy 4 years after cutoff.</p>	<p>N1-058-94-2 Item 1</p> <p>Superseded by job / item number:</p> <p><u>DAA-0058-2017-0016-0009</u></p> <p>Date (MM/DD/YYYY): <u>05/21/2018</u></p>	

230.

Private Debt Collection Litigation Background Files

Private Debt Collection Program background files on litigation matters involving the Program. Files include case materials, investigations of matter, subpoenas, summonses for testimony, copies of depositions, etc.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which related litigation is concluded.
Destroy/delete 2 years after cutoff.

Nc1-058-83-6
Item 23

Superseded by job / item number:

DAA-0058-2017-0016-0013
Date (MM/DD/YYYY):

05/21/2018

231.

Private Debt Collection Threat Files

Private Debt Collection Program background files on threats involving Private Debt Collection employees and contractors.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which related litigation is concluded.
Destroy/delete 5 years after cutoff.

NEW
N1-058-87-7
Item 12

Superseded by job / item number:

DAA-0058-2017-0016-0014
Date (MM/DD/YYYY):

05/21/2018

232.

Private Debt Collection General Administrative Files

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office. This includes but is not limited to: Diversion of Employees justification/proposed substitutions; Employee diversions to other programs; List of PCA Employees (& updates); Notification to COTR of Personnel Reassignment; Notification to PS&I Contractor Program in writing of all Contractor employees who separate from the contract; Project Staff Roster; Monthly Separation Roster; Monthly Staffing Levels Report; and Weekly Active Employee Roster.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 2 years after cutoff.

NEW

Superseded by job / item number:

DAA-0058-2017-0016-0006
Date (MM/DD/YYYY):

05/21/2018

233.

INACTIVE - ALL ITEMS SUPERSEDED
Private Debt Collection Program-Specific Procurement Files

Private Debt Collection (PDC) Program-Specific Procurement Files include, but are not limited to: Internal PDC High Level Plans, Microsoft Excel spreadsheets or Microsoft Word documents that contain all PDC payments which includes, questionable payments, the results of any audits or reviews and the final audit report which contained results and any recommendations. Procurement Files also contain Forms 4442, referrals to the Contracting Officer Technical Representative (COTR), for PDC administrative resolution fee and/or case resolutions - Documentation which supports the payment of an administrative resolution fee or an adjustment to commissionable payments to a Private Collection Agency; Financial Reports - These files contain all financial transactions related to accounts assigned to the PCAs. The COTRs use these files when completing the invoice process. Financial files include information on commissionable dollars and commissions to be paid to the PCAs. This includes a detail file that contains data on the specific reporting period (monthly) and a summary file that contains fiscal year to date cumulative information generated monthly. From September 2006 - October 2008, these files were downloaded from CPE and stored on a shared network server (NCT0010cpshr1\Common\Multi\PDC) with limited access. These files contain FTI. Beginning October 2008, COTRs accessed files through Control D.

PCA Invoice and supporting documentation used by the COTR to input payment data through WebRTS.

Disposition:

TEMPORARY. Cut off at end of fiscal year in which contract for PCA is terminated.
Delete/Destroy 6 years, 3 months after cutoff.

Superseded by job / item number:

DAA-0058-2017-0016-0004

Date (MM/DD/YYYY):

05/21/2018

234.	<p>Private Debt Collection Program-Specific Solicited and Unsolicited Bids and Proposals Files</p> <p>Files on bids and proposals, both solicited and unsolicited, received by the Private Debt Collection Program. Bids and Proposals Files include Request for Quote (RFQ) Task Orders, any associated documentation. These files are maintained by the Accountable Officer for the Program.</p> <p>Disposition:</p> <p>TEMPORARY. Cut off at end of fiscal year in which the last payment for related goods and/or services is made. Destroy/delete 1 year after final payment.</p>	N1-058-95-02, Item 2	<p>Solicited & accepted bids -</p> <p>Superseded by job / item number:</p> <p><u>DAA-GRS-2013-0003-0001</u></p> <p>Date (MM/DD/YYYY):</p> <p><u>05/21/2018</u></p> <p>Unsolicited & unaccepted bids -</p> <p>Superseded by job / item number:</p> <p><u>DAA-GRS-2016-0001-0001</u></p> <p>Date (MM/DD/YYYY):</p> <p><u>05/21/2018</u></p>
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