

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <u>N1-058-97-9</u>	
1. FROM (Agency or establishment) Department of the Treasury		DATE RECEIVED <u>4-14-97</u>	
2. MAJOR SUBDIVISION Internal Revenue Service		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Office of Chief Management and Administration; Office of the Chief, Headquarters Operations; Office of Regional Commissioner; Office of Director, Support Services (DSS)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Anthony B. Cincotta <i>ABC</i> Records Management Team	5. TELEPHONE 535-3936 <i>3031</i>		

6. AGENCY CERTIFICATION		
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>12</u> 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 type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE <i>3/13/97</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Robbie DeLarmine</i>	TITLE IRS Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p style="text-align: center;">Records Control Schedule 212</p> <p>The records covered by this schedule are created and accumulated in the Office of Chief Management and Administration; Office of the Chief, Headquarters Operations; Office of Regional Commissioner; Office of Director, Support Services (DSS)</p> <p>Concurrence:  Date: <u>4/2/97</u> Chief Management and Administration</p> <p>(Attachment)</p>		

Agency

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<i>General Administration and Management</i>		
1.	Calendars and Schedules	New item	
2.	Documentation of Membership in Professional Organizations	NN-169-10, item 19	
3.	General Correspondence Files	NN-169-10, item 1	
4.	Subject Files	New item	
	<i>Office of the Chief Management and Administration</i>		
5.	IRS/NTEU National Partnership Council	New item	
6.	National Commission on Restructuring IRS	New item	
7.	Reading Files	New item	
	<i>Office of the Regional Commissioner</i>		
8.	Executive Conferences and Meetings	New item	
9.	Management Survey and Project Reports	NN-169-10, item 12	
10.	Regional Commissioner's Files	NN-169-10, item 4	
11.	Summaries of National Office and Regional Commissioners' Conferences	NN-169-10, item 18	
	<i>Office of the Chief, Headquarters Operations</i> <i>Office of the Director, Support and Services</i>		
12.	Air Quality Management District (AQMD)	New item	
13.	Automated Financial System (AFS) Reports	New item	
14.	Budget Estimates and Justification Files	New item	
15.	Budget Policy Records	New item	
16.	Building Renovation Project Records	New item	
17.	Customer Advisory Board (CAB) Meeting Records	New item	
18.	Form M-5138, Separating Employee Clearances	New item	
19.	Form TDF 80-05.5 Department of the Treasury Documentary Materials Removal/Nonremoval Certification; Form TDF 80-05.6, Removal of Documentary Materials by Presidential Appointees with Senate Confirmation	New item	
20.	Inquiry Records -Department of the Treasury and Government Accounting Office (GAO)	New item	
21.	Management Improvement Reports	New item	
22.	Operating Plans	NN-169-10, item 15	
23.	Operational Reviews	New item	
24.	Parking Program Records	New item	
25.	Reading Files	New item	
26.	Space-related Drawings	New item	
27.	Task Force and Special Assignment Files	NN-169-10, item 13	
28.	Unique Procurement Records	New item	
29.	Visitation or Team Evaluation Records	NN-169-10, item 10	
30.	Work Information Tracking System (WITS)	New item	
	(SEE ATTACHMENT FOR DESCRIPTION OF ITEMS AND DISPOSITIONS)		

Item No.	Description of Record	Authorized Disposition
<i>General Administration and Management</i>		
1.	<p>Calendars and Schedules (NEW ITEM)</p> <p>These records document daily activities of the Chief Management and Administration, and are maintained in hard copy.</p>	<p>Permanent. Cutoff at the end of the calendar year. Retire to the WNRC when five years old. Transfer to the National Archives in 5-year blocks when ten years old.</p>
	(1) Paper copies of calendars or schedules of the Chief Management and Administration.	<p>Destroy when the agency determines that they are no longer needed for administrative, legal, audit or other operational purposes.</p>
	(2) Paper copies of calendars belonging to all other members of the Chief's staff.	<p>Delete after verification of printed copy.</p>
	(3) Electronic versions of all calendars.	
2.	<p>Documentation of Membership in Professional Organizations (Job No. NN-169-10, item 19)</p>	<p>Destroy six years after the close of the year, or when no longer needed in current operations, whichever is earlier.</p>
<p>Correspondence, reports, copies of speeches, minutes of meetings, publications, newsletters and other material related to membership and participation of Service officials and supervisory employees in professional societies and organizations.</p>		
3.	<p>General Correspondence Files (Job No. NN-169-10, item 1)</p>	<p>Retire to the Federal Records Center when three years old. Destroy six years after the end of the calendar or fiscal year, whichever is earlier.</p>
	(1) Correspondence and related documents to or from the National Office, Regional Commissioners, principal staff offices, etc. covering program activities involving implementation of Service policy, procedures, rulings, decisions, that are not made part of a particular case.	
	(2) Records documenting significant	Permanent.

Records Control Schedule 212 for the Office of Chief Management and Administration; Office of the Chief, Headquarters Operations; Office of the Regional Commissioner; Office of Director, Support Services (DSS)

<i>Item No.</i>	<i>Description of Record</i>	<i>Authorized Disposition</i>
	procedural matters, and selected records pre-determined to have historical or reference value.	Cutoff at the end of the calendar year. Retire to the Federal Records Center when five years old. Transfer to the National Archives in 5-year blocks when ten years old.
4.	Subject Files (NEW ITEM)	
	These files consist of all records relating to a specific issue that requires the attention of the Chief Management and Administration or his staff. Records include: correspondence with other Federal agencies; vendors; private companies; organizations; institutions; internal memoranda; staff and contractor studies; reports and related records.	
	(1) Subject Files on program and policy issues.	Permanent. Retire to the Washington National Records Center when two years old. Transfer to NARA in 5-year blocks when 10 years old.
	(2) Files containing routine or administrative issues.	Destroy when two years old.
<i>Office of the Chief Management and Administration</i>		
5.	IRS/NTEU National Partnership Council Records (NEW ITEM)	
	These include meetings' minutes, records concerning the development of policy and procedures, presentations, and analyses.	Retire to the Washington National Records Center when three years old. Destroy when 10 years old.
6.	National Commission on Restructuring IRS (Management and Administration only) (NEW ITEM)	
	These include records concerning policy and organizational structure of the Chief Management and Administration organization. These records are no longer accumulating.	Permanent. Retire to the Washington National Records Center when five years old. Transfer to the National Archives when 10 years old.

<i>Item No.</i>	<i>Description of Record</i>	<i>Authorized Disposition</i>
7.	<p>Reading Files (NEW ITEM)</p> <p>(1) Copies of correspondence (memoranda, letters, notes, and documents) addressed to or signed by the Chief Management and Administration. These records do not contain confidential or taxpayer information, and pertain to the Servicewide Management and Administration organization, and the management of local operations.</p>	<p>Permanent. Retire to the Washington National Records Center when five years old. Transfer to the National Archives in 5-year blocks when ten years old.</p>
	<p>(2) Reading Files maintained by all other members of the Chief's staff.</p>	<p>Destroy when two years old.</p>
	<p>(3) Extra copies of correspondence maintained for reference purposes.</p>	<p>Destroy when the agency determines that they are no longer needed for administrative, audit, legal or other operational purposes.</p>
<i>Office of the Regional Commissioner</i>		
8.	<p>Executive Conferences and Meetings (NEW ITEM)</p> <p>Conferences and meetings of Regional Commissioners and field executives to discuss policy, planning and tax administration issues established by National Office.</p>	
	<p>(1) Agendas, issue or briefing papers, handouts, minutes, final reports, or equivalent documentation.</p>	<p>Permanent. Cutoff at the end of the calendar year. Retire to the Federal Records Center when five years old. Transfer to the National Archives in 5-year blocks when ten years old.</p>
	<p>(2) Logistical documentation generated in preparation of each conference; i.e., correspondence with hotels and participants, notification packages, printing requests, etc.</p>	<p>Destroy when two years old.</p>

<i>Item No.</i>	<i>Description of Record</i>	<i>Authorized Disposition</i>
9.	<p>Management Survey and Project Records (Job No. NN-169-10, item 12)</p> <p>Narrative reports and related documents for local implementation at the request of management officials.</p> <p>(1) Record copy</p>	<p>Destroy five years after issuance or implementation of report, whichever is earlier.</p>
	(2) Extra copies.	<p>Destroy two years after issuance or implementation of report, or when no longer needed in current operations, whichever is earlier.</p>
10.	<p>Regional Commissioner's Files (Job No. NN-169-10, item 4)</p> <p>Copies of correspondence and reports on appointments, transfers, separations, adverse actions, etc., relating to key officials of the region.</p>	<p>Destroy when no longer needed in current operations.</p>
11.	<p>Summaries of National Office and Regional Commissioners' Conferences (Job No. NN-169-10, item 18)</p> <p>Documentation of meetings held in the National Office, attended by the Regional Commissioners. These records also include information on decisions reached and action items.</p> <p>(1) Record copies.</p> <p>(2) Extra copies.</p>	<p>Destroy six years after the end of the year.</p> <p>Destroy one year after the end of the year.</p>

Item No.	Description of Record	Authorized Disposition
Office of the Chief, Headquarters Operations Office of the Director of Support and Services		
12.	Air Quality Management District (AQMD) Program. (NEW ITEM)	
	(1) These records include triennial plans submitted to the Air Quality Management district, annual survey forms and related correspondence. These records are subject to audit by the AQMD up to two years after the expiration of the plan.	Destroy two years after expiration of the plan.
	(2) AQMD Files. These records include copies of the input forms, monthly subsidy voucher forms, and Form LN-92-06A (TEST) (RM).	Retire to the Federal Records Center when two years old. Destroy when six years old.
13.	Automated Financial System (AFS) Reports (NEW ITEM)	
	(1) Files or record relating to the creation, use and maintenance of the Automated Financial System, its application(s), or electronic records.	(Refer to General Records Schedule 20, item 1)
	(2) Reports are generated from the Automated Financial System (AFS) and maintained in the office to ensure accurate financial data. The major components of AFS are budget execution or funds control, general ledger, purchasing, document tracking, accounts payable and disbursements, accounts receivable and collections, travel, project cost accounting, and <i>ad hoc</i> inquiry and reporting.	Destroy when three years old.
14.	Budget Estimates and Justification Files (NEW ITEM)	
	Copies of budget estimates and justifications prepared of consolidated in the office. Included are appropriation language sheets, narrative statements,	Retire to the Federal Records Center three years after the close of the fiscal year.

Records Control Schedule 212 for the Office of Chief Management and Administration; Office of the Chief, Headquarters Operations; Office of the Regional Commissioner; Office of Director, Support Services (DSS)

<i>Item No.</i>	<i>Description of Record</i>	<i>Authorized Disposition</i>
	and related schedules and data.	Destroy 15 years after the close of the fiscal year involved.
15.	<p>Budget Policy Records (NEW ITEM)</p> <p>Records include correspondence or subject files which document agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.</p>	<p>Retire to the Federal Records Center three years after the close of the fiscal year.</p> <p>Destroy 15 years after the close of the fiscal year involved.</p>
16.	<p>Building Renovation Project Records (NEW ITEM)</p> <p>Records include project plans (timeframes), contracts, contracting office technical representative files, financial plans, and other issues which pertain to the renovation of a building occupied by IRS employees.</p>	Destroy five years after the completion of the project.
17.	<p>Customer Advisory Board (CAB) Meeting Records (NEW ITEM)</p> <p>These records include agendas with briefing papers outlining details, new business issues, or items of interest; and minutes that contain a record of each topic discussed.</p>	Destroy when three years old.
18.	<p>Form M-5138, Separating Employee Clearances (NEW ITEM)</p> <p>This IRS form is completed by an employee who is reassigned, or separates or transfers from IRS. The employee certifies that all Federal Government property, identification, and indebtedness is returned, fulfilled or terminated. Completed forms are provided to the Customer Service Center.</p>	Destroy when three years old.

<i>Item No.</i>	<i>Description of Record</i>	<i>Authorized Disposition</i>
19.	<p>Form TDF 80-05.5, Department of the Treasury Documentary Materials Removal/Nonremoval Certification, and Form TDF 80-05.6, Removal of Documentary Materials by Presidential Appointees with Senate Confirmation (NEW ITEM)</p> <p>Copies of forms that are completed and signed by all employees who separate from IRS or Government service.</p>	<p>Destroy when three years old.</p>
20.	<p>Inquiry Records - Department of the Treasury and Government Accounting Office (GAO) (NEW ITEM)</p> <p>Workpapers and correspondence, including reports on surveys, special studies, and investigations conducted jointly with other organizations.</p>	<p>Destroy when three years old.</p>
21.	<p>Management Improvement Reports (NEW ITEM)</p> <p>Copies of reports submitted to the Chief Financial Officer and related analyses and feeder reports. (Originals are provided to the CFO.)</p>	<p>Destroy when three years old.</p>
22.	<p>Operating Plans (Job No. NN-169-10, item 15)</p> <p>These records consist of statements of objectives or goals, descriptions of steps taken or to be taken, with time schedules. They may include summaries of actions necessary to complete large projects or to implement internal management documents.</p> <p>(1) Record copy.</p> <p>(2) All other copies.</p>	<p>Destroy five years after the close of the period for which the plan is effective.</p> <p>Destroy one year after the close of the period for which the plan is effective.</p>

<i>Item No.</i>	<i>Description of Record</i>	<i>Authorized Disposition</i>
23.	Operational Reviews (NEW ITEM)	Destroy when three years old.
	Written reviews are prepared by staff members in the Support Services organization. The reviews provide a summary of the activities conducted, reflecting the status and actions taken and completed.	
24	Parking Program Records (NEW ITEM)	Destroy when no longer needed in current operations.
	Records related to IRS' parking program. Records may contain applicant's name, social security number, office symbols, service computation date, home address, home telephone number, vehicle year/make model, vehicle tag number, building number, floor, work hours, and office telephone number.	
25.	Reading Files (NEW ITEM)	
	Copies of correspondence (memoranda, letters, notes and documents) addressed to or signed by the Chief, Headquarters Operations.	
	(1) Files that do not contain confidential or personnel-related information, and pertain to the Headquarters Operations organization and the management of operations.	Permanent. Retire to the Washington National Records Center when five years old. Transfer to the National Archives in 5-year blocks when ten years old.
	(2) Files that contain confidential or personnel-related information.	Destroy when four years old.
	(3) Files that contain grievance-related information.	Destroy four years after the case is closed.
	(4) Reading files maintained by all other members of the Chief's staff.	Destroy when two years old.
	(5) Extra copies maintained for reference purposes.	Destroy when the agency determines that they are no longer needed for administrative, audit, legal or other operational purposes.

<i>Item No.</i>	<i>Description of Record</i>	<i>Authorized Disposition</i>
26.	Space-related Drawings (NEW ITEM)	(Refer to General Records Schedule 11)
	Drawings are prepared when offices within headquarters are scheduled to occupy space. Drawings are no longer needed when the offices vacate the space.	
27.	Task Force and Special Assignment Files (Job No. NN-169-10, item 13)	Destroy three years after completion of assignment.
	Reports, publications, correspondence and forms relating to task force and other special assignments of officials that are not directly related to their regularly assigned duties.	
28	Unique Procurement Records (NEW ITEM)	Permanent Cutoff files annually. Retire to the Washington National Records Center when ten years old. Transfer to the National Archives in 10-year blocks when 15 years old.
	Records consist of contracts on the development of moving and hauling services; in addition to IRS facilities, types of information in the file consist of statement of work; purchase agreements; regulations, etc. The records document the initiation and development of transactions. (Annual accumulation: 1 cubic foot)	
29.	Visitation or Team Evaluation Records (Job No. NN-169-10, item 10)	Destroy five years after the end of the reporting year.
	Narrative reports of program evaluations, progress of field operations, and conformance to existing Service policies, procedures and regulations for management purposes. (1) Record copy.	
	(2) Extra copies.	Destroy two years after the end of the reporting year, or when no longer needed in current operations, whichever is earlier.

Item No.	Description of Record	Authorized Disposition
30	<p>Work Information Tracking System (WITS) (NEW ITEM)</p> <p>Requests for services are received from National Office employees through the Customer Service Center (CSC). The CSC inputs the requests on the WITS. Each office within the Division has an assigned office code for the system and retrieves the requests on a daily basis. The offices generate work tickets for services that are requested and assigns the requests for the responsible official. The work tickets reflect the requestor's name, tel. number, office symbols, room number, type of service, and ticket number. The requests are for services only, and excludes requests for funds.</p>	<p>(Refer to General Records Schedule 20, item 1)</p>
	<p>(1) Files or record relating to the creation, use and maintenance of the Work Tickets System, its application(s), or electronic records.</p>	
	<p>(2) Written requests (Input records)</p>	<p>Destroy when one year old.</p>
	<p>(3) WITS Weekly Activity Report (Output record)</p>	<p>Destroy when two years old.</p>
	<p>A report is generated from WITS to ensure services are being completed on a timely basis. The report reflects the number of requests received from the beginning of the fiscal year to the current date. The types of information contained in the report are: total assigned requests to the analysts, total requests called back to the customer, types of service, and total estimated completion dates.</p>	