

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER NY-058-97-18

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

DATE RECEIVED 7-15-97

1. FROM (Agency or establishment)
Department of the Treasury

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION
Internal Revenue Service

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

3. MINOR SUBDIVISION
Criminal Investigation Function

4. NAME OF PERSON WITH WHOM TO CONFER
Anthony B. Cincotta *ABC*
Records Management Team

5 TELEPHONE
535-3936

DATE

ARCHIVIST OF THE UNITED STATES

WITHDRAWN

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 10 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,

is not required; is attached; or has been requested.

DATE
5/15/97

SIGNATURE OF AGENCY REPRESENTATIVE
Bobbié DeCernone

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 GRS OR SUPERSEDED JOB CITATION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)

RECORDS CONTROL SCHEDULE 207 FOR CRIMINAL INVESTIGATION FUNCTION

The records covered by this Schedule are created and accumulated in the Criminal Investigation function within the National Office and in all field offices. These records pertain to the criminal investigation program of the Internal Revenue Service, which includes the investigation of alleged criminal violations of tax laws and any other special investigations as directed by the Commissioner of Internal Revenue.

Concurrence:

Paul F. Brown
Assistant Commissioner, Criminal Investigation

ltr to Agency

*Withdrawn
10-23-2000
ltr sent agency*

Item
No.

Description of Record

Authorized Disposition

General Administration and Management Records

- | | | |
|----|---|---|
| 1. | <p>Administrative Files
(NEW ITEM)</p> <p>Files include general correspondence, memoranda, facsimiles, and related documents pertaining to housekeeping or facilities' functions, and the overall administration and operation of offices within Criminal Investigation.</p> | <p>Destroy when two years old, or when no longer needed, whichever is sooner.</p> |
| 2. | <p>Calendars and Schedules
(NEW ITEM)</p> <p>These records document the daily, official activities of employees. They also include details of travel and expenses.</p> <p>(1) Paper copies of calendars and schedules.</p> <p>(2) Electronic versions of all calendars.</p> | <p>Retire to the Federal Records Center when four years old.
Destroy when ten years old.</p> <p>Archive electronic database information to tape annually.
Destroy when ten years old.</p> |
| 3. | <p>Congressional Testimony and Speeches
(NEW ITEM)</p> <p>Congressional testimony and speeches presented by the Assistant Commissioner (Criminal Investigation), Deputy Assistant Commissioner, and Criminal Investigation management officials regarding CI's activities.</p> | <p>Permanent
Transfer to the National Archives ten years after presentation.</p> |

Item No.	Description of Record	Authorized Disposition
4.	<p>Subject Files (NEW ITEM)</p> <p>Topical office files that provide information on various subjects of interest to Criminal Investigation. These files include, but are not limited to: incoming and outgoing correspondence, charts, tables, statistical records, papers, review reports, trip reports, conference reports, meeting notes, task force papers, working group files, professional association documents, meeting minutes, copies of indictments, messages, directories, studies, correspondence, news articles, congressional testimony, briefing papers, surveys, summaries, statutes, investigation highlights, memorandums of understanding, tracking information, worksheets, cables, treaty agreements, training materials, legislative activities, raw data, scheme data, instructive manuals, information on computer codes and security, and liaison documents.</p>	<p>Destroy when the information is obsolete or superseded or when no longer needed in current operations.</p>
5.	<p>Recognition and Award Files (NEW ITEM)</p> <p>These files relate to various internal and external awards and recognition programs (other than performance awards), wherein the Criminal Investigation function commends an employee. These include programs such as the: Assistant Commissioner's Award; Women in Federal Law Enforcement Awards; Retired Special Agent's Award; Treasury Agent's Award; Digest Awards etc. Records include written commendations by the Assistant Commissioner; recommendations of award nominees; criteria used to determine award recipients; award recipient data; award program information, etc.</p>	<p>Destroy when three years old.</p>

Item
No.

Description of Record

Authorized Disposition

Publications and Media Records

6. **Issuance Files**
(NEW ITEM)
(Headquarters Office only)
- Records include copies of internal management documents, i.e. Internal Revenue Manual (IRM) and Law Enforcement Manual (LEM) background material; Form Development files; and Internal Revenue Manual Transmittals, which document the changes in the function's structure, methods of operations and procedure, as well as the background information which generated the change.
- Permanent**
Transfer to the National Archives 30 years after the issuance of the IRM or LEM transmittal, or after the form has been printed for use by the Service.
7. **Media General**
(NEW ITEM)
- These files include news clippings and records of coordinated media activities and publicity efforts. They also contain press strategy and press releases.
- Destroy** three years after releases are generated.
8. **Publications**
(NEW ITEM)
- These files include Criminal Investigation (CI) generated printed and electronic publications, which are used as a medium to disseminate information to internal customers or external customers on current events. This category also includes documentation regarding copyright permission. Some of the publications include the CI Bulletin, Weekly Report to Treasury, CI News You Can Use, CI Digest, CI Operations Annual Program Book, program newsletters, magazine articles, and special project files such as CI's 75th Anniversary Digest, etc.
- Permanent**

Item
No.

Description of Record

Authorized Disposition

(NOTE: The records listed in the Publications series relate to investigative case files, which contain confidential tax data and are subject to the disclosure limitations of Section 6103 of the Internal Revenue Code. An SF 115, Request for Disposition Authority was submitted on September 16, 1996, and later withdrawn by the Archivist on February 10, 1997. Until the access and disclosure issue is resolved, the transfer to the National Archives is not authorized.)

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| 9. | Still Pictures (includes photographic prints and negatives), Slides, Filmstrips, and Audiovisual Records. | (Refer to Records control schedule 205 for Servicewide Communications, for disposition authority.) |
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Program Management and Analysis Records

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| 10. | Program Analysts' Files
(NEW ITEM) | |
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(1) Routine Files. These files are the work files of the Regional or Headquarters' Office used to analyze various investigative strategies, initiatives, programs, and subprograms. They may include the following records and source material, but are not limited to: charts, tables, statistical records, program driven research, position papers, review reports, electronic system input documents, trip reports, conference reports, meeting notes, task force papers, working group files, professional association documents, meeting minutes, copies of indictments, messages, directories, studies, correspondence, news articles, congressional testimony, briefing papers, surveys, summaries, statutes, investigation highlights, memoranda of understanding, tracking information, worksheets, cables, treaty agreements, training materials, legislative activities, raw data, scheme data, instructive manuals, information on computer codes and security, liaison documents.

Destroy when the information is obsolete or superseded, or when no longer needed in current operations.

Item No.	Description of Record	Authorized Disposition
	<p>(2) District Review Reports. These reports are initiated and maintained to review Criminal Investigation's district operations. The reports include, but are not limited to, trend analysis data by district and group, evaluation narrative by review team members and district review reports.</p>	<p>Destroy four years after the issuance of the district review report.</p>
	<p>(3) Special Studies, Task Force Reports, Research Reports, Quality Team Studies. Reports and supporting documentation on various studies, suggestions, and research done to enhance the operation and administrative efficiency of Criminal Investigation. These reports are typically done as a result of management direction and frequently in a task force setting. Files may include: Fraud Referral Task Force Report; Quality Study of Overdue Controls; Secretary Handbook Task Force; Quality Improvement Program Reports; etc.</p>	<p>Destroy when the information is obsolete or superseded, or when no longer needed in current operations.</p>
	<p>(4) Treasury Enforcement Communication System (TECS) and National Crime Information Center (NCIC) System Input and Validation Records. These records include, but are not limited to: memoranda requesting entry or cancellation of fugitives on TECS or NCIC; arrests warrants; driver's license information; criminal histories; wanted circulars; contact logs; System printouts; International Fugitive Listings; IRS collection information on foreign delinquent taxpayers; NCIC fugitive listings; and memoranda to and associated responses from districts validating fugitive status.</p>	<p>Destroy two years after cancellation or arrest.</p>

Item No.	Description of Record	Authorized Disposition
11.	<p>Policy, Directives, Investigative Strategy and Investigative Concept Files (NEW ITEM)</p> <p>Background information and documentation on the formation of the policies, directives, strategies, and concepts that provide the infrastructure of "what and how" the Criminal Investigation function performs its mission. These records include the following documents and source material, but are not limited to: charts, tables, statistical records, research, position papers, review reports, trip reports, conference reports, meeting notes, task force papers, working group files, professional association documents, meeting minutes, messages, studies, correspondence, news articles, congressional testimony, briefing papers, surveys, summaries, statutes, memoranda of understanding, worksheets, treaty agreements, and legislative activities. Annual accumulation: 20 cubic feet</p>	<p>Permanent Transfer to the National Archives 15 years after the policy, strategy, directive or concept are adopted or discarded.</p>
12.	<p>Internal Audit (IA), Government Accounting Office (GAO) and Federal Managers Financial Integrity Act (FMFIA) Files (NEW ITEM)</p> <p>These files include, but are not limited to, reports and responses to them.</p>	<p>Destroy 3 years after issuance.</p>
13.	<p>Business Plan Records (NEW ITEM)</p> <p>These records include, but are not limited to, the plans and reports relating to the IRS' Business Plan and CI function's measurements and responsibilities.</p>	<p>Destroy 5 years after the closing report is issued.</p>

Item
No.

Description of Record

Authorized Disposition

Electronic Systems

14. **Asset Forfeiture Tracking System
(AFTRAK)
(NEW ITEM)**

This electronic system maintains the inventory of Criminal Investigation's seized assets. It maintains a record of seizures for forfeiture, seizures for evidence valued at over \$500, and all currency evidence. Some of the information it tracks on seized assets include seizure date, place of seizure, party from whom the asset was seized, value, statute associated with seizure, parties of interest, storage location, disposition information, expenses, sharing information, etc.

(1) Online data base.

Archive electronic database information to tape 10 years after the final disposition of the asset.

(2) Input records.

Destroy tapes 25 years after the final disposition of the asset.

Disposal not authorized.*

(3) Reports and all output records.

Destroy when the information is obsolete, superseded or no longer needed in current operations.

*(NOTE: The input records relate to investigative case files, which contain confidential tax data, and are subject to the disclosure limitations of Section 6103 of the Internal Revenue Code. An SF 115, Request for Disposition Authority, was submitted on September 16, 1996, and later withdrawn by the Archivist on February 10, 1997. Until the access and disclosure issue is resolved, disposal of these records is not authorized.)

Item No.	Description of Record	Authorized Disposition
15.	<p>Criminal Investigation Case Management and Time Reporting System (CIMIS). (NEW ITEM)</p> <p>This database tracks the time, status and progress of criminal investigations conducted by Special Agents. The type of information includes: date initiated, subject, identifying data (name, address, social security number), agent assigned, alleged statutes, status of the investigation, action taken, IRS district location, judicial district location, closure information, sentences, fines, etc.</p>	<p>Archive electronic database information to tape yearly. Destroy tapes when 25 years old.</p> <p>Disposal not authorized.*</p>
	<p>(1) Online data base.</p>	
	<p>(2) Input records.</p>	
	<p>* (NOTE: The input records relate to investigative case files, which contain confidential tax data, and are subject to the disclosure limitations of Section 6103 of the Internal Revenue Code. An SF 115, <u>Request for Disposition Authority</u> was submitted on September 16, 1996, and later withdrawn by the Archivist on February 10, 1997. Until the access and disclosure issue is resolved, the disposal of these records is not authorized.)</p>	
	<p>(3) Reports and all output records.</p>	<p>Destroy when the information is obsolete, superseded or no longer needed in current operations.</p>
16.	<p>Criminal Investigation Equipment Control System (CIECS) (NEW ITEM)</p> <p>This electronic system maintains the inventory of Criminal Investigation's investigative equipment and other equipment at the option of the district office. It contains the inventory lists, cards, surveys, disposal information, etc.</p>	<p>Archive electronic database information to tape 5 years after the final disposition of the equipment.</p> <p>Destroy tapes 25 years after the final disposition of the equipment.</p>
	<p>(1) Online data base.</p>	

Item No.	Description of Record	Authorized Disposition
	(2) Input Records.	Destroy when the information is no longer needed for administrative, legal, audit or other operational purposes.
	(3) Reports and all output records.	Destroy when the information is obsolete, superseded or no longer needed in current operations.
	(4) Other equipment inventory files.	(Refer to Records Control Schedule 301, General Control Schedule 301, GRS 3.)

17. Criminal Investigation Special Investigative Repository (CISIR) System (NEW ITEM)

This system tracks the use of funding and personnel in undercover operations. The database includes information on undercover activities, recoverable funds, consensual monitoring, pen registers, and other electronic monitoring equipment authorizations.

(1) Online database and input data. **Disposal not authorized. ***

* (NOTE: The input records relate to investigative case files, which contain confidential tax data and are subject to the disclosure limitations of Section 6103 of the Internal Revenue Code. An SF 115, Request for Disposition Authority was submitted on September 16, 1996, and later withdrawn by the Archivist on February 10, 1997. Until the access and disclosure issue is resolved, the disposal of these records is not authorized.)

(2) Reports and all output records. **Destroy when no longer needed for administrative, legal, audit, or other operational purposes.**

18 Automated Criminal Investigation (ACI) (NEW ITEM)

This system provides on-line capabilities to process both administrative and investigative data. It provides standardized investigative-oriented databases, spreadsheet applications, accounting package, employee time reporting, and e-mail. The database contains taxpayer data, information on evidence collected, interviews with

Records Control Schedule 207 for Servicewide Criminal Investigation function

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	witnesses, and most types of records created during the course of a criminal investigation. It also maintains interoffice communications transmitted through e-mail.	
	(1) On-line investigative data base information.	Archive electronic database information to tape at the conclusion of the investigation, and store with the investigative files.
	(2) Other on-line information including management and other types of output records, system backups, various applications etc.	Delete or Destroy when no longer needed for administrative, legal, audit, or other operational purposes.