

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <u>N1-058-98-5</u>	
1. FROM (Agency or establishment) Department of the Treasury		DATE RECEIVED <u>10-01-97</u>	
2. MAJOR SUBDIVISION Internal Revenue Service		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Assistant Commissioner (Forms and Submission Processing)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Tony Cincotta	5. TELEPHONE 535- 3936x3031	DATE <u>9-5-01</u>	ARCHIVIST OF THE UNITED STATES WITHDRAWN <u>8/31/01</u>

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,

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

DATE <u>8/20/97</u>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Ernie Delarmino</i>	TITLE IRS Records Officer
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7. ITEM NO.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>Records Control Schedule for the Assistant Commissioner (Forms and Submission Processing)</p> <p>The Assistant Commissioner (Forms and Submission Processing) is the principal advisor, through the Chief Operations Officer, to the Commissioner on matters relating to submission processing of returns and information documents, forms development, and multimedia productions techniques and fulfillment.</p> <p>The Assistant Commissioner (Forms and Submission Processing) supervises the following National Directors: Forms and Publications, Submission Processing, and Multimedia Production. The Assistant Commissioner also supervises the activities of the Executive for Submission Processing Outsourcing Office.</p> <p>Concurrence: <i>Brian Downing</i> Assistant Commissioner (Forms and Submission Processing).</p> <p>Date: <u>8/15/97</u></p>		

Item No.	Description of Record	Authorized Disposition
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I. GENERAL ADMINISTRATION AND MANAGEMENT RECORDS

1.	<p>Administrative Files (Job No. NN-169-10, item 2)</p> <p>Correspondence, memoranda, facsimiles, and related documents, which pertain to housekeeping or administration and operation of offices within the Assistant Commissioner (Forms and Submission Processing) organization</p>	<p>Destroy when two years old, or when no longer needed, whichever is sooner.</p>
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2.	<p>Calendars and Schedules. (New Item)</p> <p>These records, in paper and electronic formats, document daily activities of the Assistant Commissioner (Forms and Submission Processing) and staff.</p>	<p>Destroy when no longer needed for administrative, legal, audit or other operational purposes.</p>
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3.	<p>Documentation of Membership in Professional Organizations. (Job No. NN-169-10)</p> <p>Correspondence, reports, copies of speeches, minutes of meetings, publications, newsletters and other material that relate to membership and participation of Service officials and supervisory employees in professional societies and organizations.</p>	<p>Destroy six years after the close of the year, or when no longer needed in current operations, whichever is earlier.</p>
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4.	<p>Legislation and Regulation Records (Job No. NN-172-48, Item 3)</p> <p>Records contain special studies, recommendations, reports and related data on the development of new or revised tax laws and regulations. They involve major policy decisions by the Assistant Commissioner (Forms and Submission Processing) and members of the staff.</p> <p>(1) Record copies of material generated or accumulated in the Office of the Assistant Commissioner (Forms and Submission Processing)</p> <p>(2) All other copies.</p>	<p>Transfer to areas of primary functional responsibility when no longer needed for reference.</p> <p>Destroy when one year old, or when no longer needed for reference, whichever is sooner.</p>
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Item No.	Description of Record	Authorized Disposition
5.	<p>Management Survey and Project Records (Job No. NN-169-10)</p> <p>Narrative reports and related documents for local implementation at the request of management officials.</p> <p>(1) Record copy.</p> <p>(2) Extra copies.</p>	<p>Destroy five years after issuance or implementation of report, whichever is earlier.</p> <p>Destroy two years after issuance or implementation of report, or when no longer needed in current operations, whichever is earlier.</p>
6.	<p>Reading Files. (New Item)</p> <p>Copies of memoranda, letters, notes, and documents that are addressed to or signed by the Assistant Commissioner (Forms and Submission Processing) and staff members. (Cutoff files annually)</p> <p>(1) Files that pertain to the Assistant Commissioner (Forms and Submission Processing) and management of its operations.</p> <p>(2) Files that contain grievance-related information.</p> <p>(3) Extra copies of correspondence maintained for reference purposes.</p>	<p>Destroy when two years old.</p> <p>Destroy five years after the case is closed.</p> <p>Destroy when no longer needed for administrative, audit, legal or other operational purposes.</p>
7.	<p>Routine Correspondence. (Job No. NN-172-48, Item 7)</p> <p>Inquiry letters from the general public or other government agencies, the replies to which do not involve administrative decisions or substantive decisions of tax liability.</p>	<p>Destroy after one year.</p>

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8.	<p>Subject Files. (New Item)</p> <p>These files relate to specific issues that require the attention of the Chief or the staff. Records include: correspondence with other Federal agencies; vendors; private companies; organizations; institutions; internal memoranda; staff and contractor studies; reports and related records. (Cutoff files annually)</p>	<p>Destroy when five years old, or when no longer needed in current operations, whichever is sooner.</p>
9.	<p>Summaries of National Office and Regional Commissioners' Conferences. (Job No. NN-169-10)</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>Destroy six years after the end of the year.</p>
	(1) Record copies.	<p>Destroy one year after the end of the year.</p>
	(2) Extra copies.	
10.	<p>Interagency Agreements. (New item)</p> <p>Records include correspondence, coordinations, approvals, and supporting documentation of agreements between the IRS and other Federal agencies. They also include agency certification letters, and agreements covering reimbursable services.</p>	<p>Retire to the Washington National Records Center when five years old. Destroy when 25 years old.</p>

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11.	<p>Employee Suggestions (General Records Schedule 1, Item 12(1))</p> <p>Case files including original copy of the employee suggestion form, correspondence, evaluations, etc.</p> <p>(1) Employee suggestions recommending changes to non-tax or administrative issues.</p> <p>(2) Employee suggestions recommending changes to tax processing, forms and tax law.</p>	<p>Destroy two years after approval or disapproval.</p> <p>Destroy when ten years old.</p>
12.	<p>Internal Audit Reports (Job No. N1-87-7, Item 26)</p> <p>Narrative reports prepared by Internal Audit, and related correspondence.</p>	<p>Destroy after five years or when no longer needed in current operations, whichever is sooner.</p>
13.	<p>GAO Reports (New Item)</p> <p>Copies of reports dealing with Service Center issues, correspondence generated in response to the report, and related background information.</p>	<p>Destroy when five years old, or when no longer needed in current operations, whichever is sooner.</p>

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II. PROGRAM AND FUNCTIONAL RECORDS

14.

Tax Return Forms.
(New item)

(1) Record copy of each form with related instructions, in paper or other media.
Inclusive dates: 1913 to present
Medium: Paper
Arrangement: By form number
Volume: 174 cubic feet
Annual accumulation: 14 cubic feet
Cutoff: End of calendar year
Restrictions on access and use: None

Permanent.
Transfer to the National Archives when 25 years old.

(2) Background files for each form including working papers, justifications, marked proofs, approvals, public comments, and control documentation.

Permanent.
Transfer to the National Archives in one-year block when the latest files are five years old.

(a) Files for Form 1040 series and accompanying schedules, Form 1120 series and Form W- series.
Inclusive dates: 1991 to present
Medium: Paper
Arrangement: By form number
Volume: 260 cubic feet
Annual accumulation: 50 cubic feet
Cutoff: Annually
Restrictions on access and use: None

(b) Files for all other forms.

Cutoff files annually.
Destroy when five years old.

15.

Internal Revenue Bulletin.
(New item)

Master copy - no duplicate copy

(1) Microfilm copies of the weekly Internal Revenue Bulletin.
Inclusive dates: 1920 to 1980
Arrangement: Chronological
Volume: 2.25 cubic feet
Annual accumulation: Less than 1 cubic foot
Restrictions on access and use: None

Permanent.
Transfer to the National Archives in year 2000.

(2) Paper copies of the weekly Internal Revenue Bulletin.
Inclusive dates: 1980 to present
Arrangement: Chronological
Volume: 7.5 cubic feet
Annual accumulation: Less than 1 cubic foot
Restrictions on access and use: None

Permanent. *Cutoff annually.*
~~Transfer to the National Archives in one-year~~
~~blocks when 20 years old.~~
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	(3) Work papers.	Destroy five years after publication of the related document.
16.	Tax Forms Development Program. (GRS 16, Item 3)	
	Record copies of closed correspondence relating to tax forms.	
	Background material, requisitions, specifications, processing data, and control records.	Destroy five years after related form is discontinued, superseded, or cancelled.
17.	OMB Clearance Files (GRS 16, Item 3)	
	Records include documentation for requests for OMB approval of public use forms (Headquarters, Regional Offices and functions), surveys, and regulations. Current historical and obsolete forms are included.	Destroy five years after related form is discontinued, superseded, or cancelled.
18.	Information Collection Budget Records. (New item)	
	Records include the annual report to the Department of the Treasury for the Information Collection Budget. The report describes IRS accomplishments in reducing taxpayer burden.	Destroy when five years old.
19.	Division Office Files - Tax Forms and Publications. (New item)	
	Files include background material, issue papers, memorandums, minutes of meetings, and correspondence relating to the division's operations, programs, and projects.	Destroy when ten years old.
20.	Machine-Assisted Translation Project - Multilingual Tax Administration. (New item)	
	Records include background material, issue papers, memorandums, minutes of meetings, documentation and correspondence relating	Destroy when ten years old.

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21.	<p>to multilingual tax administration in the IRS.</p> <p>Original Issue Discount Publication (Publication 1212). (New item)</p> <p>Records include copies of Form 8281 and other taxpayer documentation, reflecting corporate issues of discount bonds used to compile bond tables in Publication 1212 and list of original issue discount instruments.</p>	<p>Destroy when related issue is destroyed.</p>
22.	<p>Real Estate Mortgage Investment Conduits (REMIC) (Form 8811) Records. (New item)</p> <p>Original forms filed by issuers of REMICs for reporting information purposes under IRC 6049(c)(5) and used to compile Publication 938.</p>	<p>Destroy ten years after the year in which the form is filed.</p>
23.	<p>Forms Standardization Project Management Records/Machine-readable Forms Development (Form 1040 Series and Schedules). (New item)</p> <p>Records include the following: studies on the whole dollar reporting on returns; write-ins and attachments to returns; forms and methods that were considered and abandoned for standardization; Forms Standardization Work Group Minutes; Exam Forms User Group Reports. Written analysis done on ICR Technology, Market Research, Forms Design, Alternatives to Radical Change of Forms, etc.; Test Plans and analyses; draft forms; Contractor Deliverables/SOW/RIS for DPS; Funding; and correspondence related to the project.</p>	<p>Destroy when ten years old.</p>
24.	<p>Substitute Forms Project Control Files. (New item)</p> <p>Project control files and responses to entities requesting the use of computer-generated forms in lieu of IRS published forms.</p>	<p>Destroy when two years old</p>

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25.	<p>Submission Processing Monitoring Reports (New item)</p> <p>Reports are completed to determine program status, processing timeliness and trends in performance data.</p>	<p>Destroy when five years old.</p>
26.	<p>Publication Files. (New item)</p> <p>(1) Record copy of each publication, poster, chart, regulation booklet and similar material. This item does not cover copies and related material retained in originating offices. Medium: Paper and electronic Arrangement: By product number Volume: 800 cubic feet Annual accumulation: 15 cubic feet Cutoff: None (Records are retired when products become obsolete, superseded, or no longer required.) Restrictions on access and use: None</p> <p>(2) Background files for technical tax law publications, including working papers, issue papers, correspondence and other background material relating to their inception, development, revision, and maintenance. Medium: Paper and electronic Arrangement: By publication number Volume: 196 cubic feet Cutoff: Annual</p>	<p>Destroy when superseded, obsolete or no longer needed.</p> <p>Destroy when five years old.</p>
27.	<p>Administrative Correspondence. (New item)</p> <p>Correspondence files and related records pertaining to the administration and operation of the customer function responsible for printing, binding, duplicating and distributing. (Cutoff by fiscal year.)</p>	<p>Destroy when two years old.</p>
28.	<p>Project Files. (New item)</p> <p>Job or project records containing all papers and data pertaining to the planning, printing, binding, duplicating and distributing printed</p>	

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	<p>products.</p> <p>(1) Files related to the accomplishment of the job, which contain requisitions, bills, samples, manuscript and notice clarity clearances, and related papers. (Requisitions to the Public Printer, and records relating to services obtained outside the agency are not included.)</p> <p>(a) Procurement documents, distribution lists and related correspondence.</p> <p>(b) Original Form 1767, Publishing Services Requisition, and current copy of product.</p> <p>(2) Files pertaining to planning and other technical matters.</p>	<p>Destroy when six years old.</p> <p>Permanent Transfer to the National Archives when 5 years old.</p> <p>Destroy when three years old.</p>
29.	<p>Control Registers. (New item)</p> <p>Control registers pertaining to requisitions and work orders.</p>	<p>Disposal not authorized until GAO audit requirements are met.</p>
30.	<p>Joint Committee on Printing (JCP) Report Files. (New item)</p> <p>Reports and related records filed through the Department of the Treasury to Congress.</p> <p>(1) Agency reports to the JCP regarding operation of Class A and B inhouse printing facilities, inventories of printing and binding and related equipment in Class A and B plants or in storage, and reports on the annual production and anticipated procurement of High Speed duplicating equipment.</p> <p>(2) Copies in subordinate reporting units and related work papers.</p>	<p>Destroy when three years old.</p> <p>Destroy one year after the end of the fiscal year.</p>
31.	<p>Mailing Lists. (New item)</p> <p>Correspondence, request forms and other records relating to changes in mailing lists.</p>	<p>Destroy after the next revision of the mailing list, or when six months old, whichever is sooner.</p>

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32.	<p>Multimedia Production Division Data Systems. (New item)</p> <p>Computerized records relating to the operation of and daily data maintenance of Multimedia Production Division's (MPD) data systems. Records include data from the Electronic Status Notice System (ESN), Publishing Services Data System (PSD), Internal Management Document Distribution System (MMDDS) and others.</p> <p>(1) Monthly system backup tapes.</p> <p>(2) Yearly system backup tapes.</p>	<p>Destroy when one year old.</p> <p>Destroy when two years old.</p>
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