

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-058-05-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 8/8/2023

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 41, 43-50, 52


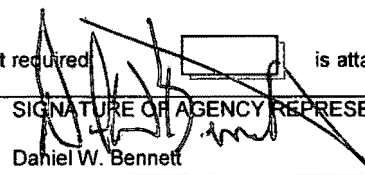
SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 42 is superseded by N1-058-12-005 item 1.

Item 51 is reserved

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-058-05-2</i>	
1. FROM (Agency or establishment) Department of Treasury		DATE RECEIVED <i>Oct 25, 2004</i>	
2. MAJOR SUBDIVISION Internal Revenue Service (IRS)		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Small Business/Self Employed (SB/SE) Division of Government Liaison and Disclosure (GLD)			
4. NAME OF PERSON WITH WHOM TO CONFER DANIEL W. BENNETT, IRS Records Officer JAMES L. HELGESON, Disclosure Enforcement		5. TELEPHONE (202) 283-9359 (214) 767-1346	
5. 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>21</u> pages(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.		DATE <i>7/2/06</i>	ARCHIVIST OF THE UNITED STATES 
		X is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.	
DATE September 30, 2004	SIGNATURE OF AGENCY REPRESENTATIVE  Daniel W. Bennett	TITLE IRS Records Officer National Office, OS:A:RE:SC (CP-6, 10) Washington, DC 20224	
7. ITEM NO.	8. DESCRIPTION OF ITEM OF PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Record Control Schedule 1, Administration/Organization [old RCS 1 for Commissioner's Office]</p> <p>The records covered by this schedule are received and accumulated in Division of Government Liaison and Disclosure (GLD), Small Business/Self Employed.</p> <p>The Mission of the Governmental Liaison and Disclosure (GLD) Division is to improve tax administration by efficiently partnering with Federal, state and local governmental agencies to increase compliance, enforcement, and service to taxpayers; ensure IRS employees and external partners protect confidential tax and privacy information; and provide timely public access to IRS records in accordance with applicable disclosure laws.</p> <p>Governmental Liaisons (GLs) are the primary IRS points of contact with federal, state, and local governments to ensure that:</p> <ul style="list-style-type: none"> All contacts with other governmental tax entities are well coordinated and that IRS resources are used in an efficient and effective manner; All joint activities are consistent with IRS direction; Issues identified by our partner organizations are consistently surfaced and addressed; Contacts with local Congressional Offices (Congressional Affairs Program) for non-case, general tax administration activities are handled efficiently; Major data exchanges with the states are managed consistently. 		<p><i>cc Agency, NR, NWMB NWMW, NWET</i></p>

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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JOB NUMBER

The Office of Disclosure provides technical guidance to Office Directors/Facilities Directors as well as reviews of Internal Management Document (IMD) materials, including IRMs, in order to ensure compliance with applicable Disclosure statutes including, but not limited to:

- IRC 6103
- IRC 6104
- IRC 6105
- IRC 6110
- The Freedom of Information Act, 5 USC 552, and
- The Privacy Act, 5 USC 552a

GLD has Service-wide responsibility for the following programs:

Partnering with Federal, state, and local governments to improve services and enforcement through:

GL Data Exchange Program (GLDEP)

Support of Operating and Functional Divisions' strategic priorities

Enhanced communication

In conjunction with Legislative Affairs, managing relationships with local congressional offices in every state under the Congressional Affairs Program (CAP).

Developing standards and guidelines for the protection of taxpayer confidentiality and access to agency records under:

Internal Revenue Code section 6103

The Privacy Act (PA)

Freedom of Information Act (FOIA)

Ensuring compliance with statutory disclosure requirements through Awareness training, Quality/Privacy Reviews, document clearances and providing technical assistance upon request

Processing:

FOIA and PA requests

Ex Parte Court Orders

Testimony authorizations

Tax checks for political appointees

Disclosure requests from State and Federal agencies

Letter forwarding requests

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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JOB NUMBER

This Request for Disposition Authority is intended to amend RCS 1, to add new Items 41 through 65 *IRS Government Liaison and Disclosure Records*.

Some of these records are subject to the Privacy Act of 1974, 5 U.S.C. 552a. This Records Schedule amendment covers all records relating to disclosure, Privacy Act, Freedom of Information Act, Testimony, and other issues which may, or may not include records covered under 5 U.S.C. 552a.

Two sub-series are proposed for **Permanent Retention** (Sub-Items 46(A)(1) and 46(B)(1)). The records in this series relate to the official Internal Revenue Service Records Copy of reports to Congress and Congressional Committees and the background materials associated with that testimony.

See the attached sheets.

Item No.	Series Description	Authorized Disposition	NARA Job No.
41	<u>GOVERNMENTAL LIAISON AND DISCLOSURE (GLD) POLICY FILES</u> Files consist of manuals, directives, plans, reports, and correspondence reflecting policies, procedures, and direction of the Disclosure Program. A. PAPER 1. Record Copy (Maintained by GLD) 2. All other offices / copies	DESTROY 2 years after superseded. DESTROY when 2 years old.	NARA Job No. NC1-58-85-8/1 NEW PRIOR AUTH NC1-58-85-8/1
	<u>B. ELECTRONIC COPIES</u> Copies created on electronic word processing or electronic mail and used solely to generate a recordkeeping copy of the records covered by other items in this schedule.	SEE ITEM 70 OF THIS SCHEDULE.	NEW
42	<u>GLD ELECTRONIC INVENTORY DATABASES</u> The Office of Government Liaison and Disclosures maintains electronic records in a relational database, such as E-DIMS, used to maintain, control, and track disclosure cases. The electronic system also includes program management activities including case documentation, workflow, electronic images of correspondence, copies of tax records, statistical inventory and time applied data. Other records in the database include such things as registers and similar records listing date, nature, and purpose of record requests which may contain the name and address of the requester. A. RELATIONAL DATABASE 1. Electronic Records a. Working Database b. Archives (Database)	ARCHIVE annually the oldest database year 6 years after processing year and strip personal identifiers (names, address, TIN). DESTROY/DELETE stripped database file immediately. DESTROY/DELETE 10 years after processing year.	NEW NEW

Item No.	Series Description	Authorized Disposition	NARA Job No.
	c. Backup Tapes	ERASE/DELETE when 45 days old.	NEW
	d. Audit Logs <i>Note: Includes electronic files and hard-copy printouts of audit trail files.</i>	DESTROY/DELETE when 6 years old.	NEW PRIOR AUTH. GRS 20/1c
2.	Reports		
	a. Routine (e.g., Monthly Reports)		
	(1) Record Copy (Electronic)	DESTROY 2 years after processing year.	NEW
	(2) Manager's Copy	DESTROY 1 year after processing year.	NEW
	(3) Employee's Copy (including electronic distribution)	DESTROY after reading, or within 30 days, whichever is sooner.	NEW
	b. Ad Hoc Congressional Reports <i>NOTE: Reports generated under this series include, but are not limited to, FOIA, PA, Disclosure Annual Reports, TIGTA, and analytical reports.</i>	DESTROY when 2 years old.	NEW
43	<u>PROGRAM MANAGEMENT FILES</u> (Paper and Electronic Versions)		
	Files consist of memoranda, reports, delegations of authority, and other records related to the establishment, development, and administration of disclosure programs.		
	A. WORK FLOW CONTROL RECORDS Records in this series consist of, but are not limited to, program letters, matrixes, etc.		
	1. Record Copy	DESTROY/DELETE 1 year after superseded, or when 4 years old, whichever is sooner.	NEW PRIOR AUTH NC1-58-85-8/2 (A: 9/3/85)
	2. All other offices / copies	DESTROY/DELETE immediately after reading, or within 30 days, whichever is sooner.	NEW

Item No.	Series Description	Authorized Disposition	NARA Job No.
B. DELEGATION ORDERS			
1.	Record Copy	DESTROY/DELETE 2 years after revision.	NC1-58-85-8/2 (A: 9/3/85)
2.	All other offices / copies	DESTROY/DELETE upon receipt of revision.	NEW
C. REFERENCE / MANAGEMENT RECORDS			
Records in this series consist of all management records/reports not covered by Items A and B above, including but not limited to TIGTA reviews, reports, etc.			
1.	Record Copy	DESTROY/DELETE 2 years after processing year.	NEW
2.	All other offices / copies	DESTROY/DELETE 1 year after processing year, or when revision is received, whichever is sooner.	NEW
D. COPIES CREATED ON ELECTRONIC MAIL OR WORD PROCESSING SYSTEMS.	SEE ITEM 70 OF THIS SCHEDULE.		NEW
44	<u>PRIVACY ACT AND DISCLOSURE (§6103) ACCOUNTING FILES</u>		
Records and files consist of disclosure accounting reports listing date, nature, and purpose of each disclosure, name and address of requestor, and proof of subject individual's consent when applicable as required under the Privacy Act of 1974 and Internal Revenue Code Section § 6103.			
A. IRC § 6103 ACCOUNTINGS (FORM 5466B)			
Form 5466-B – Multiple Records of Disclosure (or equivalent)			
1.	Record Copy - Paper (prepared by Disclosure Offices)	DESTROY 5 years after processing year or DESTROY 30 days after end of month in which record is converted to an electronic image.	NEW PRIOR AUTH NC1-58-85-8/3 (A: 9/3/85)
2.	Case File	DESTROY in accordance with the instructions approved for the related subject case file.	NEW

Item No.	Series Description	Authorized Disposition	NARA Job No.
3.	All other offices / copies <i>Note:</i> <i>This record series includes the Campus input copy, local case file copies, or similar type copies not addressed elsewhere within this Schedule.</i>	DESTROY 1 year after processing year or when no longer needed.	NEW
4.	Electronic Copies	SEE ITEM 70 OF THIS SCHEDULE.	NEW

B. PRIVACY ACT ACCOUNTINGS –FORM 5482

Form 5482 – Record of Disclosure
(Privacy Act of 1974)

1.	Record Copy - Paper (Case file / OPF)	DESTROY in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later or DESTROY 30 days after end of month in which record is converted to an electronic image.	GRS 14/23 (T: 12/98 / 8)
2.	All other offices / copies	DESTROY when 5 years old.	NEW
3.	Electronic copies	SEE ITEM 70 OF THIS SCHEDULE.	NEW

45 UNAUTHORIZED PRIVACY AND TAX DISCLOSURE FILES

Files consist of reports and records related to possible or actual unauthorized disclosures of returns or return information.

Form 10848 – Improper Disclosure Report

A. RECORD COPY - PAPER

Records in this series consist of letters, memos, Form 10848, or similar/equivalent documentation.

1.	PART 2 – Disclosure Copy or equivalent	DESTROY 5 years after the processing year for which the unauthorized disclosure was made or DESTROY 30 days after end of month in which record is converted to an electronic image.	NC1-58-85-8/5 (A:9/3/85)
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Item No.	Series Description	Authorized Disposition	NARA Job No.
	2. PART 1 – Manager’s Copy or equivalent		
	a. In EPF (Employee’s Performance File)	DESTROY according to approved disposition authority covering this series scheduled elsewhere within this manual.	NEW
	b. Non-EPF copies	DESTROY 2 years after the end of calendar year in which the disclosure occurred.	NEW
	B. ALL OTHER OFFICES/COPIES	DESTROY 2 years after the end of calendar year in which the disclosure occurred.	NEW
	C. ELECTRONIC COPIES	SEE ITEM 70 OF THIS SCHEDULE.	NEW
46	<u>CONGRESSIONAL REPORTS</u>		
	Files consist of record copies of reports submitted to the Joint Committee on Taxation, House Ways and Means Committee, Senate Finance Committee, or to the Secretary of the Treasury as mandated by 26 U.S.C. § 6103, 5 U.S.C. 552, and 5 U.S.C. 552a. Files also include background information and data.		
	A. REPORT (Only)		
	1. Record Copy - Paper	RETIRE to FRC when 5 years old. PERMANENT – TRANSFER to NARA in 5 year blocks when 10 years old.	NEW PRIOR AUTH NC1-58-85-8/4 (A: 9/3/85)
	2. All other offices / copies	DESTROY after reading, or within 30 days, whichever is sooner.	NEW
	3. Electronic Copies	SEE ITEM 70 OF THIS SCHEDULE.	NEW
	B. BACKGROUND FILES		
	1. Record Copy - Paper	RETIRE to FRC when 5 years old. PERMANENT - TRANSFER to NARA in 5 year blocks when 10 years old.	NEW PRIOR AUTH NC1-58-85-8/4 (A: 9/3/85)
	2. All other offices / copies	DESTROY after reading, or within 30 days, whichever is sooner.	
	3. Electronic Copies	SEE ITEM 70 OF THIS SCHEDULE.	NEW

Item No.	Series Description	Authorized Disposition	NARA Job No.
47	<u>PUBLIC INSPECTION OF EXEMPT ORGANIZATION / EMPLOYEE PLAN (EO/EP) CORRESPONDENCE</u>		
	Files consist of requests for inspection and related records of actions regarding Applications for Exemption / Qualification of Exempt Organization / Employee Plans.		
	A. PAPER		
	1. Record copy	DESTROY 1 year after response or DESTROY 30 days after end of month in which record is converted to an electronic image.	NC1-58-85-8/7 (A: 9/3/85)
	2. All other offices / copies.	DESTROY within 30 days.	NEW
	B. ELECTRONIC COPIES	SEE ITEM 70 OF THIS SCHEDULE.	NEW
48	<u>CERTIFICATION DOCUMENT FILES</u>		
	Files consist of requests for certification of documents and the related records of action. Records include both Certification of Official Records (Form 2866) and Certification of Lack of Record (Form 3050).		
	A. RECORD COPY		
	1. Paper		
	a. Disclosure Officer's Copy.	DESTROY 1 year after certification or DESTROY 30 days after end of month in which record is converted to an electronic image.	N1-58-85-8/9 (A: 9/3/85)
	b. Case File Copy	DESTROY with related case file. Follow the approved disposition for Case Files covered elsewhere in this schedule.	NEW
	B. ALL OTHER OFFICES / COPIES (Paper and Electronic)	DESTROY within 30 days or when no longer needed.	NEW

NEW

Item No.	Series Description	Authorized Disposition	NARA Job No.
49	<p data-bbox="259 241 990 273"><u>TAX CHECK FILES</u></p> <p data-bbox="259 304 990 493">Files contain requests for tax check reports or investigations concerning prospective Presidential and certain other governmental employees, or nominees for Presidential "E" Awards established by Executive Order 10978. Files may also contain related records of section.</p> <p data-bbox="259 525 990 556">A. RECORD COPY</p> <p data-bbox="259 682 990 745">B. ALL OTHER OFFICES / COPIES (including Paper and Electronic)</p>	<p data-bbox="1006 525 1380 651">DESTROY when 5 years old or DESTROY 30 days after end of month in which record is converted to an electronic image.</p> <p data-bbox="1006 682 1380 745">DESTROY after reading, or within 30 days, whichever is sooner.</p>	<p data-bbox="1477 210 1559 241">NARA Job No.</p> <p data-bbox="1477 546 1559 630">NEW PRIOR AUTH. N1-58-85- 8/10(2) (A: 9/3/85)</p> <p data-bbox="1477 703 1559 724">NEW</p>
50	<p data-bbox="259 808 990 840"><u>TESTIMONY FILES</u></p> <p data-bbox="259 871 990 1123">Files consist of requests or demands for testimony of Service personnel or production of Service records in non-tax cases and any authorization or denial for such testimony or production of records. The series consists of both routine and non-routine cases dealing with non-criminal/congressional cases, criminal, congressional, and civil with public interest cases respectively.</p> <p data-bbox="259 1155 990 1186">A. RECORD COPY</p> <p data-bbox="308 1228 990 1260">1. Paper</p> <p data-bbox="259 1386 990 1449">B. ALL OTHER OFFICES / COPIES (including Paper and Electronic)</p>	<p data-bbox="1006 1228 1380 1354">DESTROY when 3 years old or DESTROY 30 days after end of month in which record is converted to an electronic image.</p> <p data-bbox="1006 1386 1380 1459">DESTROY/DELETE immediately after reading, or within 30 days, whichever is sooner.</p>	<p data-bbox="1477 1249 1559 1333">NEW PRIOR AUTH. N1-58-85- 8/11(2) (A: 9/3/85)</p> <p data-bbox="1477 1417 1559 1438">NEW</p>
51	<p data-bbox="259 1512 990 1543"><u>RESERVED</u></p>		
52	<p data-bbox="259 1648 990 1711"><u>REQUESTS FOR RETURN AND RETURN INFORMATION FILES</u></p> <p data-bbox="259 1711 990 1824">Files consist of requests for copies or inspection of confidential tax returns or return information; either hard copy or tape extracts, and related records of actions taken.</p>		

Item No. 52	Series Description	Authorized Disposition	NARA Job No.
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A. AGREEMENTS

1. Basic Agreements

Files include documents and information on the coordination of Federal/State Exchange programs and related background materials.

a. Record Copy - Paper

DESTROY 3 years after receipt of new or amended agreement or DESTROY 30 days after end of month in which record is converted to an electronic image.

NEW
PRIOR AUTH
N1-58-85-
8/12(3a)
(A: 9/3/85)

~~b. Electronic Copies~~

~~Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.~~

SEE ITEM 70 OF THIS SCHEDULE.

NEW

2. Implementation Agreements and Memoranda of Understanding (MOU)

a. Record Copy - Paper

DESTROY 3 years after receipt of new or amended agreement or DESTROY 30 days after end of month in which record is converted to an electronic image.

NEW
PRIOR AUTH
N1-58-85-
8/12(3b)
(A: 9/3/85)

~~b. Electronic Copies~~

~~Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.~~

SEE ITEM 70 OF THIS SCHEDULE.

NEW

3. All other offices / copies

DESTROY/DELETE immediately after reading, or within 30 days, which is sooner.

NEW

B. ROUTINE REQUESTS

Files consist of, but are not limited to, requests for copies or inspection of confidential tax returns, or return information; either hard copy or tape extracts, and related records, including records of actions taken.

1. Record Copy - Paper

a. Congressional Committees

RETIRE to RC 2 years after the year of processing; DESTROY 5 years after the processing year or DESTROY 30 days after end of month in which record is converted to an electronic image.

N1-58-85-8/12
(1)(b)
(A: 9/3/85)

Item No.	Series Description	Authorized Disposition	NARA Job No.
b. Federal	(1) NOT related to specific taxpayers	DESTROY when 3 years old, or when no longer required for administrative use, whichever is sooner.	N1-58-85-8/12(2a) (A: 9/3/85)
	(2) RELATED to specific taxpayers Such as disclosures under IRC § 6103(i).	RETIRE to RC 1 year after the processing year. DESTROY 5 years after the processing year or DESTROY 30 days after end of month in which record is converted to an electronic image.	N1-58-85-8/12(2b) (A: 9/3/85)
c. State or Local	(1) NOT related to specific taxpayers	DESTROY when 3 years old or DESTROY 30 days after end of month in which record is converted to an electronic image.	NEW
	(2) RELATED to specific taxpayers	RETIRE to RC 1 year after the processing year. DESTROY 5 years after the processing year or DESTROY 30 days after end of month in which record is converted to an electronic image.	N1-58-85-8/12(3)(d)2 (A: 9/3/85)
d. Other Misc. – includes letter forwarding	(1) NOT related to specific taxpayers	DESTROY 1 year after processing year or DESTROY 30 days after end of month in which record is converted to an electronic image.	NEW PRIOR AUTH N1-58-85-8/12(4)(a) (A: 9/3/85)
	(2) RELATED to specific taxpayers	DESTROY 1 year after the processing year or DESTROY 30 days after end of month in which record is converted to an electronic image.	N1-58-85-8/12(4)(b)2 (A: 9/3/85)
2. Electronic Copies	Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE.	NEW
3. All other offices / copies		DESTROY/DELETE within 30 days, or when no longer needed, whichever is sooner.	NEW

Item No.	Series Description	Authorized Disposition	NARA Job No.
C. NON-ROUTINE REQUESTS			
	Case files in which there is an anticipated historical or public interest.		
1.	Record Copy - Paper		
	a. Congressional Committees	RETIRE to RC 3 years after the year of processing. DESTROY 20 years after the year of processing or DESTROY 30 days after end of month in which record is converted to an electronic image.	N1-58-85-8/12 (1)(a) (A: 9/3/85)
	b. Federal		
	(1) NOT related to specific taxpayers	DESTROY when 3 years old.	NEW
	(2) RELATED to specific taxpayers	RETIRE to RC 3 years after the processing year. DESTROY when 20 years old.	N1-58-85-8/12 (2)(b)1 (A: 9/3/85)
	d. Other Misc. – Includes letter forwarding		
	(1) NOT related to specific taxpayers	DESTROY when 3 years old.	NEW
	(2) RELATED to specific taxpayers	DESTROY 3 years after the processing year.	N1-58-85-8/12 (4)(b)1 (A: 9/3/85)
2.	Electronic Copies Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE.	NEW
3.	All other offices / copies	DESTROY/DELETE within 30 days, or when no longer needed, whichever is sooner.	NEW
D. REFERENCE OR MANAGEMENT REPORTS			
CLOSED SERIES 2003			
NOTE: This authority covers both paper and electronic records created. The record series is closed and no "new" records are being created to add to this collection. This series will be removed from the Schedule upon expiration of the oldest record retention (2008).			
1.	Congressional	DESTROY 2 years after the processing year.	N1-58-85-8/12 (1)C (A: 9/3/85)

Item No.	Series Description	Authorized Disposition	NARA Job No. N1-58-85-8/12 (2)(b)3 (A: 9/3/85)
2.	Federal	DESTROY 2 years after the processing year.	
3.	State or Local	DESTROY 5 years after the processing year.	N1-58-85-8/12 (3)(e) (A: 9/3/85)
4.	All other offices / copies.	DESTROY / DELETE within 30 days, or when no longer needed, whichever is sooner.	NEW
5.	Electronic Copies Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE.	NEW

53

FREEDOM OF INFORMATION ACT REQUEST FILES (FOIA)

Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of the requested record or copy thereof.

A. CORRESPONDENCE AND SUPPORTING DOCUMENTS

These files EXCLUDE the official file copy of the records requested if filed herein.

1. Paper	a. Granting access to all the requested records.	DESTROY 2 years after date of reply.	GRS 14/11a (#8/12/98)
	b. Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and requests not processed for failure to pay agency reproduction fees or other reasons.		
	(1) Request NOT appealed.	DESTROY 2 years after date of reply.	GRS 14/11 a(2) (#8 12/98)
	(2) Request appealed.	DESTROY as authorized under Case Files - FOIA Appeals (See item 54 in this Schedule).	GRS 14/11 a(2b) (#8 12/98)
	c. Denying access to all or part of the records requested.		

Item No.	Series Description	Authorized Disposition	NARA Job No.
	(1) Request NOT appealed.	RETIRE to RC when no longer needed for current operation, when records occupy at least one cubic foot of space, and when records will remain at the RC for at least a year. DESTROY 6 years after date of reply.	GRS 14/11 a(3) (#8 12/98)
	(2) Request appealed.	RETIRE to RC when no longer needed for current operation, when records occupy at least one cubic foot of space, and when records will remain at the RC for at least a year. DESTROY as authorized under Case Files - FOIA Appeals (See item 54 in this Schedule).	GRS 14/11 a(3b) (#8 12/98)
	2. Electronic Copies Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE.	NEW
B. OFFICIAL FILE COPY OF REQUESTED RECORDS.			
	1. Paper	DISPOSE of in accordance with approved Service disposition instructions for the related records or with the related FOIA request, whichever is later.	GRS 14/11 b (#8 12/98)
	2. Electronic Copies Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE.	NEW
C. FOIA CONTROL FILES			
1. REGISTERS OR LISTINGS			
	a. Paper	RETIRE to RC when no longer needed for current operation, when records occupy at least one cubic foot of space, and when records will remain at the FRC for at least a year. DESTROY 6 years after date of last entry.	GRS 14/13 b (#8 12/98)
	b. Electronic Copies Records in the above series that may have been created using Word Processing, E-Mail,	SEE ITEM 70 OF THIS SCHEDULE	NEW

Item No.

Series Description
or some other electronic application.

Authorized Disposition

NARA
Job No.

2. OTHER FILES

~~a. Paper~~

RETIRE to RC when no longer needed for current operation, when records occupy at least one cubic foot of space, and when records will remain at the RC for at least a year.

GRS 14/13b
(#8 12/98)

~~DESTROY 6 years after final action by the agency or after final adjudication by courts, whichever is later.~~

~~b. Electronic Copies~~

~~Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.~~

SEE ITEM 70 OF THIS SCHEDULE

NEW

54

CASE FILES ON FOIA APPEALS

Files created in this series consist of the original case file on which the FOIA appeal was filed. It includes a copy of the reply thereto, any subsequent actions, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

NOTE:

This record series does NOT include the actual FOIA Appeal. This is handled by another office.

A. CORRESPONDENCE AND SUPPORTING DOCUMENTS

These files EXCLUDE the official file copy of the records under appeal if filed herein).

~~1. Paper~~

RETIRE to RC when no longer needed for current operation, when records occupy at least one cubic foot of space, and when records will remain at the RC for at least a year.

GRS 14/12 a
(#8 12/98)

~~DESTROY 6 years after final determination by agency; 6 years after the time at which a requester could file suit; or, 3 years after final adjudication by the courts, whichever is later.~~

~~2. Electronic Copies~~

~~Records in the above series that may have been created using Word Processing, E-Mail,~~

SEE ITEM 70 OF THIS SCHEDULE.

NEW

Item No.	Series Description or some other electronic application.	Authorized Disposition	NARA Job No.
B. OFFICIAL FILE COPY OF RECORDS UNDER APPEAL			
1. Paper		RETIRE to RC when no longer needed for current operation, when records occupy at least one cubic foot of space, and when records will remain at the RC for at least a year. DISPOSE of in accordance with approved Service disposition instructions for the related records or with the related FOIA request, whichever is later.	GRS 14/12 b (#8 12/98)
2. Electronic Copies Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.		SEE ITEM 70 OF THIS SCHEDULE.	NEW
55	<u>FOIA REPORTS FILES</u> THIS ITEM DOES NOT COVER SERVICE LEVEL ANNUAL REPORTS TO CONGRESS.		
	Recurring reports and one-time information requirements relating to the Service implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level.		
	A. PAPER	DESTROY when 2 years old.	NEW PRIOR AUTH GRS 14/14 (#8 12/98)
	B. ELECTRONIC COPIES Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE	NEW
56	<u>FOIA ADMINISTRATIVE FILES</u>		
	A. PAPER	DESTROY when 2 years old.	GRS 14/15 (#8 12/98)
	B. ELECTRONIC COPIES Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE	NEW
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Item No.

Series Description

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- 58 RESERVED
- 59 RESERVED
- 60 RESERVED

PRIVACY ACT REQUEST FILES

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a (d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

A. CORRESPONDENCE AND SUPPORTING DOCUMENTS

Note:

These files EXCLUDE the official file copy of the records requested if filed herein.

1. Records Copy - Paper

a. Granting access to all the requested records.

DESTROY 2 years after date of reply.

GRS 14/21 a
(a)
(#8 12/98)

b. Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and requests not processed for failure to pay agency reproduction fees or other reasons.

(1) Requests NOT appealed.

DESTROY 2 years after date of reply.

GRS 14/21 a
(2a)
(#8 12/98)

(2) Requests appealed.

DESTROY as authorized under Privacy Act Amendment Case Files
(See Item 61 B in this Schedule).

GRS 14/21 a
(2b)
(#8 12/98)

c. Denying access to all or part of the records requested.

(1) Requests NOT appealed.

RETIRE - to RC when no longer needed for current operation, when records occupy at least one cubic foot of space, and when records will remain at the RC for at least a year.
DESTROY 5 years after date of reply.

GRS 14/21 a
(3a)
(#8 12/98)

(2) Requests appealed.

DESTROY as authorized under Privacy Act Amendment Case Files
(See Item 61 (B) in this Schedule).

GRS 14/21 a
(3b)
(#8 12/98)

Item No.	Series Description	Authorized Disposition	NARA Job No.
2.	Electronic Copies Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE	NEW
B. OFFICIAL FILE COPY OF REQUESTED RECORDS			
1.	Record Copy - Paper	DESTROY in accordance with approved Service disposition instructions for the related records or with the related Privacy Act request, whichever is later.	GRS 14/21 b (#8 12/98)
2.	Electronic Copies Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE	NEW
61			
<u>PRIVACY ACT AMENDMENT CASE FILES</u>			
Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a (d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 5 U.S.C. 552a (d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a (g).			
A. REQUESTS TO AMEND			
1.	Agreed to by the IRS Files include individual's requests to amend and copies of agency's replies thereto, and related materials.	DESTROY in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.	GRS 14/22 a (#8 12/98)
a.	Record Copy - Paper		
b.	Electronic Copies Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE	NEW
2.	Refused by the IRS Files include individual's requests to amend		

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and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

a. ~~Record Copy -Paper~~

DESTROY in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by the agency, or 3 years after final adjudication by the courts, whichever is later.

GRS 14/22 b
(#8 12/98)

b. ~~Electronic Copies~~
Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.

SEE ITEM 70 OF THIS SCHEDULE

NEW

B. APPEALED REQUESTS

Appealed requests to amend. Files include all records created in responding to appeals under the Privacy Act for refusal or denial by any agency to amend a record.

2. ~~Electronic Copies~~
Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.

SEE ITEM 70 OF THIS SCHEDULE.

NEW

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PRIVACY ACT CONTROL FILES

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

A. REGISTERS OR LISTINGS

1. ~~Paper - Record Copy~~

RETIRE to RC when no longer needed for current operation, when records occupy at least one cubic foot of space, and when records will remain at the RC for at least a year.
DESTROY 5 years after date of last entry.

GRS 14/24 a
(#8 12/98)

B. OTHER FILES

1. ~~Paper - Record Copy~~

RETIRE to RC when no longer needed for current operation, when records occupy at least one cubic foot of space, and when records will remain at the RC

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(#8 12/98)

Item No.	Series Description	Authorized Disposition	NARA Job No.
		for at least a year. DESTROY 5 years after final action by the agency or final adjudication by courts, whichever is later.	
	2. All other offices / copies	DESTROY/DELETE within 30 days or when no longer needed.	NEW
	3. Electronic Copies Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.	SEE ITEM 70 OF THIS SCHEDULE.	NEW

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PRIVACY ACT REPORTS FILES

Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the office of Management and Budget (OMB), and the Report on New Systems at all levels. Note – Does not cover Biennial report to Congress from the OMB.

~~A. RECORD COPY - PAPER~~

DESTROY when 2 years old.

GRS 14/25
(#8 12/98)

~~B. ELECTRONIC COPIES~~

~~Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.~~

SEE ITEM 70 OF THIS SCHEDULE

NEW

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PRIVACY ACT GENERAL ADMINISTRATIVE FILES

Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

~~A. RECORD COPY - PAPER~~

DESTROY when 2 years old.

GRS 14/26
(#8 12/98)

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~~B. ELECTRONIC COPIES~~

~~Records in the above series that may have been created using Word Processing, E-Mail, or some other electronic application.~~

SEE ITEM 70 OF THIS SCHEDULE.

NEW

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RESERVED

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RESERVED

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RESERVED

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No.**

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**ELECTRONIC RECORDS FOR ALL ITEMS WITHIN
THIS SCHEDULE, UNLESS SPECIFICALLY
IDENTIFIED WITHIN AN ITEM**

NEW

Copies of records created on electronic mail and word processing used solely to generate a record-keeping copy of the records covered by other items in this schedule. This item also includes electronic copies of records created on electronic mail and word processing systems maintained for updating, revision, or dissemination.

1. Copies that have no further administrative value after the recordkeeping copy is made. This includes copies maintained by individuals in personal - files, electronic mail directories, or other directories on hard disk or network drives, and copies on shared network drives used only to produce the recordkeeping copy.
2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

DESTROY/DELETE within 180 days (6 months) after the recordkeeping copy has been made or when no longer needed.

GRS-14137-37
(48-12158)

DESTROY/DELETE when dissemination, revision, or updating is complete.

GRS-14137-38
(48-12158)