

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
		JOB NUMBER <i>NI-58-04-6</i>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		DATE RECEIVED <i>August 19, 2004</i>	
1. FROM (Agency or establishment) Department of Treasury		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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Internal Revenue Service (IRS)			
3. MINOR SUBDIVISION Wage and Investment			
4. NAME OF PERSON WITH WHOM TO CONFER DANIEL W. BENNETT, IRS Records Officer GAIL T. ROBISON, Program Analyst	5. TELEPHONE (202) 283-9359 (972) 308-7121	DATE <i>11-24-04</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
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>3</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,  <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE August 12, 2004	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> 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 GRS OR SUPERSEDED JOB CITATION	10.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><b>Record Control Schedule 31, Customer Service [old RCS 24 for Customer Service]</b></p> <p>The records covered by this schedule are received and accumulated in the Taxpayer Assistance Centers, Telephone Call-Sites, and Walk-In offices where IRS customers make inquiries regarding Internal Revenue Service rules, policies, and procedures, or make inquiries regarding specific tax matters.</p> <p>This Request for Disposition Authority is intended to amend RCS 31, to add new Item 24 <i>IRS Taxpayer Assistance Recorded Quality Control Records</i>. These records are subject to the Privacy Act of 1974, 5 U.S.C. 552a. This record series covers all audio recordings and screen image capture (including digital video imaging) used to randomly review the customer service provided taxpayers by IRS taxpayer assistors. The system allows the IRS to improve the quality of service to taxpayers by selecting customer service events and capturing conversations between taxpayers and IRS representatives, as well as the related computer activities the latter used to access information to assist the former. These recordings and captured "screen shots" allow IRS managers and quality reviewers to listen to actual contacts and view computer activity in an effort to ensure that accurate and timely information is being provided to the taxpayer.</p> <p>The recordings are transcribed onto a Data Collection Instrument (DCI), a process which captures the tax matter discussed and the answer, and other assistance provided. The DCI is maintained with the printed digital screen image materials. Managers then discuss the contacts with employees in a feedback meeting. These meetings are held as soon as possible following the recording and transcribing, however, managers routinely travel between various sites. As a result, minor delays</p>		
			<i>cc Agency, IR NWMLWA</i>

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between recorded events and events transcription are possible. Meetings are usually held within 45 days of the contact, but no later than 90 days. Employees can refute the events as transcribed, or can sign the DCI. In the event that the employee agrees with the transcription and signs the DCI acknowledging the feedback, the recordings and background materials can be destroyed. The DCI is placed in the *Supervisors' Personnel File* (a file maintained on the employee and used for short-term periods such as appraisal and one year holds for disciplinary matters. The File is scheduled under 1.15.38 Item 18). The 90 day hold period for actual recordings and screen shots is only intended to allow all feedback to occur prior to destruction of these records.

Should the employee dispute the events as transcribed, and refuse to sign the DCI, an attempt is made to review the situation. Should no resolution be possible, the full recordings and background materials (i.e, printouts of screen shots) must be maintained for future use should they be required for performance or disciplinary reasons in the future. These materials are retained for the full appraisal and grievance process time-frames. They are maintained with the DCI in the *Supervisors' Personnel Files* (1.15.38 Item 18).

No recordings are retrieved in a manner that identifies specific taxpayer identifying information including name, or taxpayer identification number.

**See the attached sheets.**

**CUSTOMER SERVICE**

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**24. IRS TAXPAYER ASSISTANCE RECORDED QUALITY CONTROL RECORDS (SUBJECT TO PRIVACY ACT OF 1974, 5 U.S.C. 552a)**

These records are created and maintained by managers in the Taxpayer Assistance Centers (TAC), Field Sites, and Call Sites. Random recordings of taxpayer/customer service interface are used to measure and assess customer assistance. Some information extracted from these records is retained by Centralized Quality Review Staff (CQRS) and is duplicated in other series. Records include audio digital recordings of conversations between IRS assistors and taxpayers who visit a Taxpayer Assistance Center (TAC), the screen capture images of computer sites used to provide assistance, and Data Collection Instruments (DCI) used to provide feedback. The records are used to improve the quality of IRS responses to taxpayers. Records are identified by unique identifier of the IRS employee involved in the conversation.

~~(1) **Data Collection Instrument (DCI) and related records.** DCI form used to document recorded assistance and transcribe pertinent events. The DCI is used to discuss the call or visit and provide feedback to the employee involved in the assistance. Transcriptions of audio recordings and visual screenshots (or digital video images of screens) of computer enabled assistance are shared with the employee in feedback meeting(s) with managers. Extracted information is also shared with Centralized Quality Review Staff on a case by case basis. Employees can either accept, or rebut, some or all of the transcription of the recorded assistance. Rebuttal(s) submitted is collected as a follow up to the feedback and is included as a related record.~~

~~Following feedback meeting(s) transfer DCI to Supervisor's Employee Performance File and destroy all other non-record copies. Schedule DCI with RCS 38 (1.15.38) Item 18. **REVIEW** annually. **DESTROY** superseded or obsolete documents. **DESTROY** file relating to an employee within 1 year after separation or transfer.~~

~~GRS 1  
Item 18  
(1.15.38,  
Item 18)~~

*Covered by GRS - does not require disposition approval.  
TT  
11/16/04*

(2) **Audio Digital Recordings and Screen Capture (including digital video screen) Images – Employee accepted Data Collection Instrument (DCI).** Original audio digital recording transcribed onto a DCI and copies of screen shot images (including digital video screen images) that have not been rebutted during feedback meetings with supervising management.

**DESTROY** within 3 months following all feedback meeting(s) with employee. **NEW**

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Item No.	Series Description	Authorized Disposition	NARA Job No.
<del>(3)</del>	<del>Audio Digital Recordings and Screen Capture (including digital video screen) Images – Employee Rebutted Data Collection Instrument (DCI) Original audio digital recording transcribed onto a DCI and copies of screen shot images (including digital video screen images) that have been rebutted during feedback meetings with supervising management.</del>	<del>Following feedback meeting(s) and receipt of a formal rebuttal transfer to Supervisor's Employee Performance File Schedule with RCS 38 (1.15.38) Item 18. <b>REVIEW</b> annually. <b>DESTROY</b> superceded or obsolete documents. <b>DESTROY</b> file relating to an employee within 1 year after separation or transfer.</del>	<del>GRS 1. Item 18 (1.15.38, Item 18)  Passed by GRS - does not require disposition approval. TT 01/16/04</del>