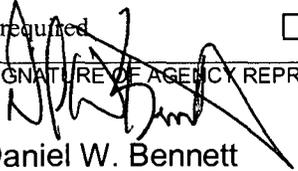# REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER
N1-058-09- 3 0

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

Date received
6/1/09

NOTIFICATION TO AGENCY

1. FROM (Agency or establishment) Department of Treasury	

2. MAJOR SUBDIVISION
Internal Revenue Service (IRS)

3. MINOR SUBDIVISION
Wage and Investment (W&I)

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Daniel W. Bennett	(202) 435-6337	23 NOV 09	
Michael S. Jackson	(202) 283-0664		

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 ___5_ page(s) are not needed now for the business for 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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
5/27/2009	Daniel W. Bennett IRS Records Officer	IRS Records Officer National Office, OS:A:RE:SC Washington, DC 20224

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	RCS 1.15.29 for Records Control Schedule for Tax Administration – Wage and Investment Records **Updates to RCS:** 1.) Change numbering scheme of Item 105 to delete all sub-items (1), (2), and (3). 2.) Leave ONLY Register Notices. 3.) Move OLNR Inputs, sub-item (2). 4.) Move NRP Output of Notice Correction Volume. Add new Item 116 On Line Notice Review (OLNR) System. Note – Will include moved sub-items 3 and 4 above.		

PREVIOUS EDITION NOT USABLE   **STANDARD FORM 115** (REV. 3-91)
Prescribed by NARA 36 CFR 1228

RCS 1.15.35 Records Control Schedule for Tax Administration – Systems (Electronic)

1). Add new pointer to Item 116 in RCS 1.15.29.

The records are owned by W&I, Customer Account Services, Submissions Processing, Cincinnati, Ohio.

See attached.

Background:

The Internal Revenue Service (IRS) corresponds with taxpayers for a variety of reasons. One of the reasons the IRS corresponds with a taxpayer is to inform that taxpayer of a settlement amount owed or due. The amounts of these settlements are handled within a mainframe environment. On Line Notice Review (OLNR) is utilized for the review and modification (if necessary) of settlement notices sent to taxpayers by the IRS. OLNR receives a sample of settlement notices for review to ensure that taxpayers are receiving complete and accurate settlement notices.

Settlement notices are reviewed at several locations. Each site receives approximately 10% of the settlement notices (for subsequent review) that are sent by the IRS for that particular site location. Thus, approximately 10% of all settlement notices sent by the IRS are reviewed within OLNR. The settlement data is received from the Notice Review Processing System (NRPS) mainframes.

Two data files must be received for each system/cycle, which consists of settlement notice data. These two files are referred to as the disposition and the notice data files. Both files must exist in the loading area and correspond exactly to the same notice and system/cycle. If these conditions do not exist, then the data load process immediately fails and the appropriate entries are entered into the load log. The OLNR application has several built-in validity checks to identify the validity of the data. All tables use primary keys that ensure that duplicate and/or invalid data is not loaded in the OLNR database.

Auditing is captured at the Windows level in the Event Viewer logs (i.e. System, Application & Security logs). Each of the Event Viewer logs record multiple elements that include:
- Event ID
- Event type (Information, Warning, Error)
- Date/time of event
- User's SEID
- Description of the action
- Source of event (i.e. Software or drivers)

RCS/29, Item 116	**On Line Notice Review (OLNR)**		

Description:

The On-Line Notice Review (OLNR) application gives campus (Service Center) tax examiners the ability to review notices (Computer Paragraphs, or CPs) on-line and edit them on-line. The mainframe programs send IMF and BMF files to an OLNR server located in each campus. Once the files have been loaded onto the server, the tax examiner can retype all selected and associated notices. The tax examiner can also retype notices selected for manual intervention that are on the selectable and associated CP list. The application maintains audit trail and statistical data filtering the information for errors and enabling trending and other statistical/analytical studies.

1). Inputs:

Inputs to the On Line Notice Review (OLNR) Application constitute each notice selected for review ordered by notice sequence number. NRP10 and other data files including, but not limited to:

- IMF input Disposition Records
- BMF input Disposition Records
- IMF input Notice Records
- BMF input Notice Records

Source data is transmitted from the Notice Review Processing System (NRPS).

Disposition: TEMPORARY. Cut off at end of Processing Year. Delete/Destroy one year after cutoff.

2). System Data:

On Line Notice Review (OLNR) Application Data include the Centralized Data Base for Notices Reviewed, the Centralized Database of stripped down information for statistical analysis, the Data Base Tables used to generate the original and changed values of Notices, the Data Base Tables used to generate reports in the Search

Batch and Search Disposition features of the Application, and Audit Data Files.

a). Notice, On Line Notice History (Batch), and On Line Notice History (Disposition) Centralized Data Base

Disposition: TEMPORARY. Cut Off after end of the Processing Year. Delete/Destroy four years after cutoff.

b). Centralized Data Base (Statistical Only)

Disposition: TEMPORARY. Cut Off after end of the Processing Year. Delete/Destroy when twenty years old or when no longer needed for statistical and analytical functions whichever is sooner.

c). Data Base Tables used to generate original and changed values of Notices. Tables include, but are not limited to, the following:

The tables reside in both the OLNRLoad and OLNRHistory databases.

- NoticeOffsets
- NoticePayments
- NoticeMathErrors
- NoticeTPNCs
- NoticePenalties
- NoticeReasons
- NoticeLabels
- NoticeEntityIMF
- NoticeEntityBMF
- NoticeAMtsxxx where xxx represents each CP (010,011,012, etc)
- Notice Control

Disposition: TEMPORARY. Delete/Destroy when three months old or when no longer needed for Notice change processing or review.

d). Data Base Tables used in the Search Batch and Search Disposition features of the Application.

Disposition: TEMPORARY. Delete/Destroy when three years old or when no longer needed for reporting purposes.

e,
2). Audit Logs and Data Bases

Disposition: TEMPORARY. Cut Off after end of the Processing Year. Delete/Destroy four years after cutoff.

Note – Audit Logs and Data Bases are retained as long as related Notices for audit trail purposes.

3). Outputs:

Outputs to the On Line Notice Review (OLNR) Application constitute the NRP30 and NRP31 Files and other data including, but not limited to:

- IMF changed Disposition Records
- BMF changed Disposition Records
- IMF changed Notice Records
- BMF changed Notice Records

Disposition: TEMPORARY. Cut Off after end of the Processing Year. Delete/Destroy one year after cutoff.

d.   System Documentation

On Line Notice Review documentation includes Core Record Layouts, Schematics, and protocol instructions for use of the Command Codes to access the system.

Disposition: TEMPORARY. Delete/destroy when superseded or 5 years after the system is terminated, whichever is later.

exception to
GRS 20,
item 11