| REQUEST FOR RECORDS DISPOSITION AUTHORITY<br>*(See Instructions on reverse)* | LEAVE BLANK (NARA use only)<br>JOB NUMBER<br>**N1-058-09- 89** |
|---|---|
| TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML)<br>8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001 | DATE RECEIVED<br>8/28/09 |
| 1 FROM (Agency or establishment)<br>Department of the Treasury | NOTIFICATION TO AGENCY |
| 2 MAJOR SUBDIVISION<br>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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10 |
| 3 MINOR SUBDIVISION<br>Wage and Investment, Customer Account Services, Correspondence Imaging | |

| 4 NAME OF PERSON WITH WHOM TO CONFER | 5 TELEPHONE | DATE | ARCHIVIST OF THE UNITED STATES |
|---|---|---|---|
| Daniel W Bennett, IRS Records Officer<br>Steve N Rayos Jr<br>Jack D Mayfield | 202-435-6337<br>512-460-4513<br>972-308-7836 | 8/26/2009 | |

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 3 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,

[redacted] is not required, [redacted] is attached, or [redacted] has been requested

| DATE | SIGNATURE OF AGENCY REPRESENTATIVE | TITLE |
|---|---|---|
| 8/25/2009 | Daniel W Bennett IRS Records Officer | IRS Records Officer<br>National Office, OS A RE SC<br>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| 7 ITEM NO | 8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARA USE ONLY) |
|---|---|---|---|
| | **RCS 1.15.19 for Records Control Schedule for the Enterprise Computing Center – Martinsburg (ECC - MTB)**<br><br>**Future Updates:**<br><br>• **Adds new Item 78 for *Correspondence Imaging System (CIS)***<br><br>**Item 78 Correspondence Imaging System (CIS)**<br>**Sub-Items**<br>• **a. Inputs b. Outputs c. Data d. Systems Documentation**<br><br>**RCS 1.15.35 Records Control Schedule for Tax Administration – Systems (Electronic)**<br><br>**a.) Add new pointer to Item 78 in RCS 1.15.19**<br><br>**The records are owned by Wage and Investment, Customer Account Services, Correspondence Imaging and processed by the Martinsburg Computing Center (ECC-MTB).**<br><br>***See the attached*** | | |

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| | **Background:**<br><br>*The Correspondence Imaging System (CIS) was developed in response to a need for a more efficient approach to processing and handling paper taxpayer correspondence received in the Wage & Investment (W&I) Customer Account Services (CAS) Accounts Management (AM) The CIS system is currently in production in the following W&I CAS AM sites: Andover, Atlanta, Austin, Brookhaven, Cincinnati, Fresno, Kansas City, Memphis, Ogden, and Philadelphia This system was developed for operation within IRS's standard corporate computing infrastructure, which includes workstations, Windows 2000 Servers Tier III environment using Content Manager, and DB2 database management software (DB2) The imaging application utilizes Web Sphere, Oracle Form and Reports, Documentum, IBM NQ, and Business Objects for Reporting software on high volume and mid-range scanners Note. DB2 Database was replaced with Oracle 10g Database in 2009, and DB2 no longer supports the CIS effort*<br><br>*The Customer Applications Development Division (CADD)/Audit Programs & Support Services Branch (APSS)/Information Management Applications Section (IMAS) partnered with contractors and developed the project with Commercial-off-the-Shelf (COTS) software products, supplemented by custom programming for business logic and web interfaces CIS supports the imaging sub-system and is deployed on the scanner hosts This software is used to initialize the scanner and is the mechanism by which paper is converted to images. The Content Manager (CM) manages images and monitors the flow of the digital documents, respectively Customer Service Representatives access their cases (images) via Internet Explorer and Java applets A key capability of the CIS Content Manager software is the scalable and distributed architecture that provides an enterprise-wide catalog The enterprise catalog provides a centralized repository to manage documents across multiple systems and sites CIS also provides a distributed architecture, allowing for the deployment of scanning, indexing, and quality assurance tasks across multiple workstations per site* | | |
| IRM<br>1 15 19,<br>Item 78 | **Correspondence Imaging System (CIS)**<br><br>**Description:**<br><br>The Correspondence Imaging System (CIS) captures images of correspondence from taxpayers intended for Accounts Management (AM) employees. Correspondence includes TaxPayer letters, returned notices (CP responses) and standard forms (i e , SF 1040X, 1120X, 941C) which are scanned and electronically routed to AM employees After work is completed on a case, including any quality review processes, the images are stored following retention guidelines, and are accessible by other employees with CIS access should the need arise. | NEW | |

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**A. Inputs:**

The Correspondence Imaging System (CIS) in all 10 Internal Revenue Service Campuses captures images of correspondence from taxpayers intended for Accounts Management (AM) employees Correspondence includes letters, returned notices and standard forms that are scanned and electronically routed to AM employees CIS also receives data inputs from internal systems Electronic linked systems to CIS include, but are not limited to, the National Account Profile (NAP) via Legacy Access Provider (LAP), Security and Communications System (SACS), Standardized IDRS Access Tier 1 (SIA TIER1), Taxpayer Information File Data Store (TIF DS) via Legacy Access Provider (LAP), Security and Communications System (SACS), and Standardized IDRS Access Tier 1 (SIA TIER1)

GRS 20

*Disposition: TEMPORARY Delete/destroy original paper copies after scanning, quality review, and validation*

**B. System Data:**

System data in the Correspondence Imaging System (CIS) is identified by a uniquely assigned "image number" and the date scanned in order to facilitate the research and retrieval of the paper document at a later date Individual CIS Electronic Records can be primarily queried by CIS case identifier, Taxpayer Identification Number (TIN), Document Locator Number (DLN), and for specific roles, some can query by Customer Service Representative (CSR) Number One of these identifiers is required and results can be further refined by selecting the state of the case, Master File Tax (MFT) Number, Tax Period, Name Control, IRS received date

**1. Non-Collection Statute Expiration (CSED) related cases.**

*Disposition. TEMPORARY Cut-off when taxpayer case is closed Delete/destroy 7 years after cut-off*

**2. Statute Expiration (CSED) related cases.**

*Disposition: TEMPORARY Cut-off when taxpayer case is closed Delete/destroy 10 years after cut-off*

**C. Outputs:**

Systems Receiving Data from this the Correspondence Imaging System (CIS) include Account Management Services (AMS-1, AMS), Correspondence Letter System (CORRESPONDEX, CRX) via Legacy Access Provider (LAP), Security and Communications System (SACS), Standardized IDRS Access Tier 1 (SIA TIER1), General Updates (GEN UP) via Legacy Access Provider (LAP), Security and Communications System (SACS), Standardized IDRS Access Tier 1 (SIA TIER1), TaxPayer Delinquent Account (TDA) via Legacy Access Provider (LAP), Security and Communications System (SACS), Standardized IDRS Access Tier 1 (SIA TIER1)

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| | CIS interfaces with the systems via the Integrated Data Retrieval System (IDRS). IDRS communicates via a set of IDRS command codes that are executed as server side calls, as well as, through the IDRS terminal emulation session. These commands gather information from TIF, Master File and CFOL Databases CIS also interfaces with the SACS system to authenticate users and to leverage their security model Additionally, CIS images IRS internally generated transcripts and notices that ultimately become case work for Adjustments CSRs<br><br>*Disposition TEMPORARY Delete/destroy when no longer needed for operational purposes*<br><br>**Note – CIS outputs are retained in the recipient systems as the official records.*<br><br>**D. System Documentation**<br><br>System Documentation for the Correspondence Imaging System (CIS) consists of codebooks, records layout, User Guide, and other related materials.<br><br>*Disposition TEMPORARY Delete/destroy when superseded or 5 years after the system is terminated, whichever is sooner.* | GRS 20<br><br>Exception to GRS 20.11 | |