

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-058-10-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 6/30/2021

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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

Item B1, System Data

Item D, System Documentation

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

DAA-0058-2015-0004-0001 supersedes item 1B2.

| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse) | | LEAVE BLANK (NARA use only) | |
|--|--|--|----------------------------------|
| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001 | | JOB NUMBER N1-58-10-2 | |
| 1. FROM (Agency or establishment) Department of the Treasury | | DATE RECEIVED 10/1/09 | |
| 2. MAJOR SUBDIVISION Internal Revenue Service | | NOTIFICATION TO AGENCY | |
| 3. MINOR SUBDIVISION Tax Exempt and Government Entities (TE/GE) | | 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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10. | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Tracee Taylor (RIM Program Office) Lynn Williams (TE/GE) | | 5. TELEPHONE 202-435-6308 502-420-1596 | |
| 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>4</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 type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. | | DATE ARCHIVIST OF THE UNITED STATES 6/11/10 [Signature] | |
| DATE 9/28/2009 | | SIGNATURE OF AGENCY REPRESENTATIVE [Signature] IRS Records Officer Daniel W. Bennett | |
| TITLE IRS Records Officer National Office, OS:A:RE:L 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>RCS 1.15.24 Records Control Schedule for Tax Administration – Tax Exempt and Government Entities (TE/GE)</p> <p><u>New Item 91, Employee Plan and Exempt Organizations Returns Inventory Control System (ERICS) Historical Archive</u></p> <p>* RCS 1.15.35 Tax Administration Electronic Systems</p> <p>Add pointer to Item 91 in RCS 1.15.24.</p> <p>IRM 1.15.35 is a cross-walk of electronic systems to official IRS Records Control Schedules.</p> <p>(see attached)</p> | | |

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IRM 1.15.24, New Item 91
Employee Plan and Exempt Organizations Returns
Inventory Control System (ERICS) Historical Archive

Background:

ERICS was an inventory control system that maintained the databases containing the examination inventory of three business units within TE/GE including Employee Plans (EP), Exempt Organization (EO), and Government Entities (GE). Specifically, the ERICS application housed the database tables for two sub-applications used by TE/GE employees. These applications consisted of the Employee Plans Inventory Control System (EPIC) and the Exempt Organizations Inventory Control System (EOIC). These systems were designed to enable group managers to use automated tools in the management and control of group inventory.

The taxpayer and employee data fields were used to track exam case inventories in real time by group and agent. Taxpayer data fields provided tools for tracking cases within the group by age, return types, plan numbers, and geographical location. User screens were provided that could generate listings of cases by agent by age and/or project code, transmittal forms when physically transferring cases to another IRS office, entries to close cases or open new cases on the system. Employee data fields could further divide the case tracking above by agent name and/or grade and the agent's post-of-duty (POD), thus allowing more detailed inventory tracking reports.

User access depended upon permissions and roles as approved by the user's manager. Depending on the user and the role(s) assigned to the user, the system menu provided different system capabilities.

This application will be retired as of 10/1/2009. Functionality of the application has been replaced by the Reporting Compliance Case Management Systems (RCCMS) formerly known as TE/GE Reporting and Electronic Examination System (TREES). Although TREES was originally released in 2007, TE/GE ran dual systems until this year. As of 10/01/2009, four ASCII files will be created to store historical ERICS data as a backup/reference. Two files will contain data regarding all closed cases (one for EP and one for EO/GE), and the other two files will contain data on all open cases as of the

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date of retirement (again, one for EP and one for EO/GE). These files constitute case information for all cases ever maintained in ERICS, dating from October 1997, and will be stored on a server with access restricted to TE/GE Business Systems Planning personnel. If the business requires access to the data, a request will be made to the BSP staff, who will pull the required data and provide it in spreadsheet format to the business.

Description:

ERICS was an inventory control system that contained the examination inventory and related information of three business units within TE/GE including Employee Plans (EP), Exempt Organization (EO), and Government Entities (GE). This application will be retired as of 10/1/2009. Functionality of the application has been replaced by the Reporting Compliance Case Management Systems (RCCMS), formerly known as TE/GE Reporting and Electronic Examination System (TREES).

a. Inputs:

1. Inputs included taxpayer return data electronically received from RICS (Returns Inventory and Classification System), and employee data from the IRS Discovery Directory. Also included direct manual entry of case/employee information.

Disposition: *Not applicable.* Recordkeeping copies of RICS and human resource data are appropriately scheduled under other authorities.

b. Master Files/System Data:

The ERICS application maintained database tables for two sub-applications used by TE/GE employees. These applications consisted of the Employee Plans Inventory Control System (EPIC) and the Exempt Organizations Inventory Control System (EOIC). EPIC was an inventory control system containing employee plans examination cases. EOIC was an inventory control system containing exempt organizations examination cases.

Upon ERICS shutdown, four ASCII files will be created to store historical/archived ERICS data. Two files will contain recordkeeping data of all closed cases (one for EP and one for EO/GE), and the other two files will contain

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data on all open cases as of the date of retirement (again, one for EP and one for EO/GE). Closed case information in ERICS is not duplicated in RCCMS. Open case information in ERICS was downloaded to RCCMS in 2007 (then TREES). The business unit has been running dual systems since that time. The ASCII files for open cases constitute backup/reference materials.

For each case, taxpayer data includes name, TIN (Taxpayer Identification Number), MFT (Master File Transaction) code, plan number, tax period, status code, and open/closed dates. Agent information includes agent group number.

1. Closed Case Data.

Disposition: Temporary. Consists of two ASCII files of archived ERICS data, one for EP and one for EO/GE. Affect a one-time purge of both files when 7 years old.

~~2. Open Case Data.~~

~~**Disposition:** Temporary. Consists of two ASCII files of archived ERICS data, one for EP and one for EO/GE. Affect a one-time purge of both files when 7 years old.~~

~~3. Outputs:~~

~~1. Screens within ERICS could be used to query and run reports. Users could extract specific case data, generate Form 3210 case transmittal forms, or request set summary reports. The Form 3210 was produced by the system to move the closed/transferred inventory out of the group. Inventory summary reports and other ad hoc reports were possible by entering certain criteria such as month/year, group/area. Management reports included case aging reports, inventory validations, statute logs, Forms 3210, and agent listings.~~

~~**Disposition:** Temporary. Destroy/Delete when no longer needed for administrative, audit, legal, or other operational purposes.~~

~~2. Forms 895 *Notice of Statute Expiration*. This form is used by exam functions to provide information, notification and statute update approval for statute of limitations for tax returns.~~

Superseded by Job / Item number:

DAA-0058-2015-004-0001

Date (MM/DD/YYYY):

05/27/2016

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Disposition: *Not applicable.* Recordkeeping copies of these forms are filed with/disposed of in accordance with associated case files.

d. System Documentation:

Includes User Guides for both EP Inventory Control and EO Inventory Control.

Disposition: Temporary. Destroy/Delete when superseded or 5 years after the system is terminated, whichever is sooner.

GRS 20.5

exception to
GRS 20.11