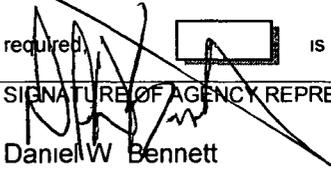|		
REQUEST FOR RECORDS DISPOSITION AUTHORITY *(See Instructions on reverse)*	**LEAVE BLANK (NARA use only)** JOB NUMBER **N1-58-11-26**	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001	DATE RECEIVED 9/30/11	

1 FROM (Agency or establishment) Department of the Treasury	NOTIFICATION TO AGENCY
2 MAJOR SUBDIVISION 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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10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 Small Business/Self Employed (SB/SE)	

4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Tracee Taylor (IRS Records Office)	202-435-6308	3 Jul 12	

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 __4__ 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,

☐ is not required	☐ is attached, or	☐ has been requested

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE IRS Records Officer
9/28/2011	Daniel W Bennett	National Office, OS A RE L RIM 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7 ITEM NO	8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	IRM 1.15.23 *Records Control Schedule for Tax Administration - Examination* New Item 85, Examination Returns Control System (ERCS) See attached.		

IRM 1.15.23, New Item 85
Examination Returns Control System (ERCS)

Background:

The Examination Returns Control System (ERCS) is an inventory management database application used by the Small Business/Self-Employed (SB/SE) and Large Business and International Division (LB&I) for controlling and monitoring tax returns, and technical time charges for returns under examination in all areas It is a real-time system that interacts with the Audit Information Management Systems (AIMS) AIMS is the official system of record for inventory in Wage and Investment (W&I), SB/SE, LB&I, and Tax Exempt and Government Entities (TE/GE) However, AIMS does not capture time charges and it is not accessible for the type of daily or weekly reports needed at the group level to control inventory AIMS is scheduled under Job No N1-58-98-7

ERCS is used to requisition tax returns, assign returns to examiners, and change codes such as status codes, project codes, and charge time ERCS users generate either an Agent Input Document/Examiner's Time Input Document or a Tax Auditor Daily Report These ERCS-generated time reports replaced Form 4502 (obsolete) and Form 4606 (obsolete)

Examination records (taxpayer) can be requested, updated, reassigned and closed for an area ERCS allows managers to track statute information, manage inventory by group or examiner, monitor time applied, conduct workload reviews, and determine what type of cases need to be requested ERCS can be used to control work that is not controlled on the Audit Information Management System (AIMS), such as preparer penalties

ERCS supports two sub-systems the Summary Examination Time Transmission System (SETTS), and the Statistical Sampling Inventory Validation Listing (SSIVL) System

ERCS contains several security checks to ensure unauthorized users do not access programs and authorized users (identified and authenticated for access to the application via a unique eight-character login and password) are kept within the boundaries of their permissions These checks are performed automatically and silently each time a user attempts to access ERCS The user has no ability to prevent the checks

1	**Description:**		

Description:

ERCS is an inventory management system used by SB/SE and LB&I Operating Divisions for controlling and monitoring tax returns and technical time charges for returns under examination

A. Inputs:

Examination records are added and updated in ERCS through manual inputs (of taxpayer information) from ERCS users, and through weekly downloads from the Audit Information Management System - Reference (AIMS-R) database

GRS 20.2

Disposition: Temporary Weekly updates from AIMS are overwritten each week Manual updates are verified prior to updating the database

B. System Data:

1. ERCS Examination Records ERCS provides detailed management information on returns under examination Taxpayer data includes taxpayer identification numbers (TIN), employer identification number (EIN), taxpayer/employer name and address, and related return information such as amounts claimed by taxpayer filing an amended return or claim, secondary social security number (SSN), activity, source and status codes, and name control Other information contained in the database is locally defined to allow users to classify, type, and track returns and local projects

Information, such as the employee's AIMS Assignee Code (AAC), POD, position code, position code date, grade, employee's date of activation on the ERCS application, and the employee's tour of duty are stored on each employee accessing ERCS and is used to control user access to the ERCS main menu and data in the database For the purpose of recording time charges, a Unique Employee Identification Number is stored in ERCS. The Unique Employee Identification Number is a sequence number generated by the ERCS application. This number is in a format required by the Summary Examination Time Transmittal System (SETTS), a subsystem of ERCS At the end of each time cycle (typically every four weeks), the SETTS information for the cycle is electronically transmitted to another server for roll-up in national reports and tables.

Disposition: Temporary. Returns are stored on the system

for a minimum of 400 days after closure at which time they are archived. Archived data is maintained for 7 years, then deleted/destroyed. Selected (returns) history data is kept on the system for 5 years after returns are closed (Status 90 closure). The history data also serves as an index for archived data. After 7 years the history data is deleted

1a. Summary Examination Time Transmission System (SETTS). SETTS is a subsystem of ERCS, and is a time keeping system for Examination. It extracts time on case data from ERCS for validation and transmittal to ECC-DET for roll-up in national reports and tables

Disposition: Temporary. Delete 400 days after the time charge or when the associated return is archived, whichever is later

1b. Statistical Sampling Inventory Validation Listing (SSIVL) System. SSIVL is a subsystem of ERCS. SSIVL allows AIMS/ERCS analysts to load weekly AIMS data into a Microsoft Access database, from which reports (showing certain error conditions) and queries can be generated. Use of the SSIVL system is required to validate AIMS data

Disposition: Temporary. Weekly files from AIMS are overwritten each week

2. Audit Log. ERCS audit logs capture access to the ERCS main menu. UNIX audit logs capture login/logoff to the ERCS server. Both trails capture the user's logon name and data and time of action

Disposition: Temporary. Delete when 7 years old.

C. Outputs:

1. System downloads. ERCS interfaces and shares return data with other systems such as the Appeals Centralized Database System (ACDS) and the Audit Information Management System (AIMS). Return information with international features is shared with LB&I's Issue Management System (IMS). Return information from the excise area is shared for use by the Excise Files Information Retrieval System (ExFIRS). Requisitions, updates, transfers, and short closures made on ERCS are sent to AIMS daily

exception to GRS 20.5

Disposition: Temporary. Records of updates sent to AIMS are retained on the system for 1 year. IMS records coming into ERCS are deleted after each time cycle. All

other downloads can be deleted after successful transfer and verification

2. Reports   ERCS has the capability to generate several types of (inventory) management and statistical reports that remain internal to the IRS

ERCS also provides real-time information in the form of screens and reports for management of Small Business/Self Employed (SB/SE) and Large and Business & International (LB&I) Examination groups, Planning and Special Programs (PSP), Centralized Case Processing (CCP), Technical Services (TS), SB/SE Examination and LB&I Quality Measurement Staff, and National Quality Specialty Review

Disposition: Temporary Delete/Destroy when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later

D. System Documentation:
Includes user handbooks, Technical Reference Manual, and other related materials

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

GRS 20 5

exception to GRS 20.11

hat115-109

NSN 7450-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV 3-91)
Prescribed by NARA
36 CFR 1228