REQUEST FOR RECORDS DISPOSITION AUTHORITY	LEAVE BLANK (NARA use only)
(See Instructions on reverse)	**JOB NUMBER** N1-058-09-84

<table>
<tr><td colspan="2">TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML)
8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001</td><td>DATE RECEIVED
8/28/09</td></tr>
<tr><td colspan="2">1 FROM (Agency or establishment)
Department of the Treasury</td><td>NOTIFICATION TO AGENCY</td></tr>
<tr><td colspan="2">2 MAJOR SUBDIVISION
Internal Revenue Service</td><td rowspan="2">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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10</td></tr>
<tr><td colspan="2">3 MINOR SUBDIVISION
Wage and Investment, Business Modernization, CADE</td></tr>
<tr><td>4 NAME OF PERSON WITH WHOM TO CONFER
Daniel W Bennett, IRS Records Officer
Rene S Schwartzman
Bill I White</td><td>5 TELEPHONE
202-435-6337
404-338-7079
202-429-7590</td><td>DATE   ARCHIVIST OF THE UNITED STATES</td></tr>
</table>

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 __5__ 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 8/25/2009	SIGNATURE OF AGENCY REPRESENTATIVE Daniel W Bennett IRS Records Officer	TITLE IRS Records Officer National Office, OS A RE SC 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7 ITEM NO	8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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) **Future Updates:** • **Adds new Item 77 for *Customer Account Data Engine (CADE)*** **Item 77 Customer Account Data Engine (CADE)** **Sub-Items** • **a. Inputs b. Outputs c. Data d Systems Documentation** **RCS 1.15.35 Records Control Schedule for Tax Administration – Systems (Electronic)** **a.) Add new pointer to Item 77 in RCS 1.15.19** **The records are owned by Wage and Investment, Business Modernization, CADE and processed by the Martinsburg Computing Center (ECC-MTB)** *See the attached*		

REQUEST FOR RECORDS DISPOSITION AUTHORITY	ᴧVE BLANK (NARA use only)
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	N1-058-09-

Background:

Customer Account Data Engine (CADE) is a new IRS system designed to replace the magnetic tape-based Individual Master File system A key benefit of CADE is the daily posting and settlement of tax return information and the reduction of time that taxpayers have to wait for their paper checks or direct deposit refunds CADE is the cornerstone of the Internal Revenue Services' (IRS) modernized systems Through a number of incremental releases, CADE will ultimately replace the Individual Master File (IMF) and enable the replacement of the related Integrated Data Retrieval System (IDRS) components Taxpayer records will be moved from the legacy Master File to the Modernized System, using a release-based approach starting with the simplest taxpayer accounts Release 3 includes all Form 1040, Form 1040A, and Form 1040EZ returns, single filers The filer can have no Change of Address or Power of Attorney on file The rest of the taxpayer records will be processed within the Individual Master File CADE also incorporates current policy and legislative changes through its online business rules

Customer Account Data Engine - (CADE) application is scheduled to be phased in over several years, processing increasingly more complex tax returns in stages, ultimately replacing the tape-based Master File systems the IRS now uses to process tax return data The CADE Release 4 2 was successfully deployed on January 19, 2009 Activities supporting CADE Release 5 are currently in progress When completed, CADE will provide a variety of benefits to taxpayers, such as faster refunds along with daily postings of transactions and updating of accounts CADE in conjunction with future external Customer Relationship Management (CRM) capabilities will enable employees to post transactions and update taxpayer account and return data from their desks Updates will be immediately available to anyone who accesses data and will provide a complete, timely, and accurate account of the taxpayer's information The database and applications developed by CADE will enable the development of subsequent modernized systems CADE System was introduced into service in 2004 with incremental releases scheduled through 2012 Two releases are scheduled each year When CADE is fully implemented, ECC-Martinsburg's weekly IMF processing will end after more than 40 years By that time, Martinsburg's customers should expect to see and benefit from CADE processes occurring on a daily basis in a modernized, online, transaction-based environment Note TaxPayer accounts either reside on the IMF/IMF-OnLine or CADE System Databases, but not both

CADE is currently focused on individual (1040 family) accounts Included in the later releases will be the payroll and excise tax records for Small Business/Self-Employed Form 1040 filers that currently reside in the Business Master File The long-term vision for CADE will address Business Master File (BMF) However, the current plan for CADE does not address BMF, Information Returns Processing (IRP) or up front processes such as ELF, paper pipeline processing or the Generalized Mainline Framework (GMF)

	Customer Account Data Engine - Individual Data Store (CADE DS) contains modernized tax account data Entity and tax modules are maintained separately in this data store The CADE system application contains tables of Legacy Account Formatted (LAF) data and Legacy Account Formatted On-Line (LAFOL) data It also contains Legacy Account Return (LARF) data for the current and two prior tax years	
IRM 1 15 19, Item 77	**Customer Account Data Engine (CADE)** **Description:** The Customer Account Data Engine - Individual and Business (CADE) application is scheduled to be phased in over several years, processing increasingly more complex tax returns in stages, ultimately replacing the tape-based Master File systems the IRS now uses to process tax return data CADE Release 4 2 was successfully deployed on January 19, 2009 When completed, CADE-I will provide a variety of benefits to taxpayers, such as faster refunds along with daily postings of transactions and updating of accounts CADE in conjunction with future external Customer Relationship Management (CRM) capabilities will enable employees to post transactions and update taxpayer account and return data from their desks Updates will be immediately available to anyone who accesses data and will provide a complete, timely, and accurate account of the taxpayer's information The database and applications developed by CADE will enable the development of subsequent modernized systems	NEW
	A. Inputs Inputs to the Customer Account Data Engine (CADE) are extracted from the Individual Master File (IMF) and Business Master File (BMF), and daily postings of customer accounts derived from Legacy Account Returns (LARF) and Legacy Account Files On-Line (LAFOL) *Disposition TEMPORARY Delete/destroy cache file after successful entry and verification into the system*	GRS 20
	B. System Data· The Customer Account Data Engine was designed to replace microfilm and magnetic tape Master File Systems The system is more functional than the legacy systems of record System data includes the Individual Master File, Accounts Registers and other Accounts Files, Reference Registers, Data Control Records, a data archives for restoring information to the Production Environment as required, Data backups, and audit logs **1. Daily Account and Reference Registers** *Disposition TEMPORARY Delete/destroy 2 weeks after the weekly cycle or when no longer needed for operational purposes whichever is earliest (the Dailies are rolled up to Weekly Registers (IRM 1 15 29, Item 200 NC1-058-80-6)*	

2. **Weekly Account Registers**

Disposition TEMPORARY Delete/destroy upon receipt of the subsequent Register (IRM 1 15 29, Item 200(3) NN-170-16, Item 101)

3 **Weekly Reference Registers**

Disposition TEMPORARY Cut-off at end of fourth weekly cycle Delete/destroy upon receipt of the first Weekly Reference Register of the next four week cycle (IRM 1 15 29, Item 201(3) NN-171-152, Item 17)

4. **Cumulative Account Registers**

Disposition TEMPORARY Cut-off at end of the processing year Delete/destroy 30 years after cutoff (IRM 1 15 29, Item 201 NN-170-16, Item 102)

5. **Monthly Reference Registers**

Disposition TEMPORARY Cut-off at end of the cycle Delete/destroy 4 months after cutoff (IRM 1 15 29, Item 201 (3) NN-171-152, Item 17)

*Note – See item 6 for exceptions

6. **Monthly Reference Registers (1ˢᵗ and last month)**

Disposition TEMPORARY Cut-off at end of the processing year Delete/destroy 2 years after cutoff (IRM 1 15 29, Item 201 (2) NC1-058-80-6, Item 201)

7. **Data Control and Accounting Records**

All records that form a part of the audit trail of data flow into, through, and out of ECC-MTB processing systems

Ledgers and other documents pertaining to the reconciliation of the general ledger accounts in the service centers with the money balances on CADE and the master files maintained on magnetic tape at ECC-MTB

Card files, tickler files and other types of files used to record action taken and control workflow

Disposition TEMPORARY Cut-off at end of the processing year Delete/destroy 1 year after cutoff

8. **CADE Data Archive**

CADE will archive unneeded data from the production environment This data can be restored to the Production Support environment, if needed to support GAO audits This data is Balance and Control, Send to MQ Status, and Statistics data Archived data will not include taxpayer data

Disposition TEMPORARY Cut-off at end of the processing year Delete/destroy 1 year after cutoff

9.   CADE Data Backup

Disposition TEMPORARY   Cut-off at the end of each processing year Delete/destroy when 6 months after cutoff

10.   CADE Daily and Weekly Backups

Disposition TEMPORARY   Cut-off at end of the cycle (i e at end of Daily or Weekly) Delete/destroy 3 cycles after cutoff

11.   CADE Audit Logs

Disposition TEMPORARY   Cut-off at end of the processing year   Delete/destroy 1 year after cutoff

C.   Outputs:

Communications to the Current Processing Environment (COMM2CPE) is responsible for communicating CADE related data to other IRS organizations   COMM2CPE analyzes the current day's processing activity, determines what information needs to go to which CPE organization, and formats the information as specified in the applicable Interface Control Documents (ICDs)   COMM2CPE is in two places
- COMM2CPE On-line
- COMM2CPE Batch

COMM2CPE then sends the information to the appropriate organizations in the proper time frame (i e , daily, weekly, etc)   COMM2CPE is also responsible for updating taxpayer accounts in LAFFOL after Transaction Processing completes the posting of transactions to those accounts

COMM2CPE sends Balance and Reconciliation information to the following CPE organizations
- Recap data to ECC-MTB/Processing Validation Section (PVS)
- Recap data to Interim Revenue Accounting Control System (IRACS)
- Financial Management Information System (FMIS)
- Release Accounting Control Report (RACR)
- Reconciliation

COMM2CPE sends Refund information to the following CPE organizations
- Refund data to ECC-MTB/PVS
- Refund data to IRACS
- Refund Information File (RFIF)
- Refund Interest Program (RIP)
- Duplicate Direct Deposit (DDD)
- Refund Summary Voucher to Financial Management System (FMS)

COMM2CPE sends other CADE information to the following CPE organizations
- Source of Income (SOI)
- Individual Return Transaction File (IRTF)
- IMF Weekly Reports
- Taxpayer Address Resolution (TAR)
- PVS
- COMM2CPE also makes information available to 701 EXEC

Additionally, after taxpayer accounts have been successfully restored to IMF, COMM2CPE deletes those accounts from LAFFOL

Disposition TEMPORARY Cut-off at the end of the processing year Delete/destroy 18 months after cut-off

D.   System Documentation

System Documentation for the Electronic MFTRA System (ELEC MFTRA) consists of codebooks, records layout, User Guide, and other related materials

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

hat115-109

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PREVIOUS EDITION NOT USABLE

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