

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER

*NI-058-98-2*

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

DATE RECEIVED

*10-1-97*

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

3. MINOR SUBDIVISION

**Executive Officer for Customer Service**

4. NAME OF PERSON WITH WHOM TO CONFER

**Tony Cincotta**

5 TELEPHONE

**535-3936x3031**

DATE

*9-5-01*

ARCHIVIST OF THE UNITED STATES

WITHDRAWN

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 \_\_\_ page(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

*8/20/97*

SIGNATURE OF AGENCY REPRESENTATIVE

*Bobie Delamater*

TITLE **IRS Records Officer**

ITEM NO.

8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9 GRS OR SUPERSEDED JOB CITATION

10 ACTION TAKEN (NARA USE ONLY)

**Records Control Schedule for the Executive Officer for Customer Service**

The records covered by this schedule are created and/or accumulated in the Office of the Executive Officer for Customer Service.

The Executive Officer for Customer Service plans, directs, and monitors the delivery of all Customer Service programs. This includes programs such as: providing tax law assistance via telephone and the Internet, responding to written or telephonic taxpayer inquiries, assisting taxpayer in complying with tax laws by establishing installment agreements, improving compliance by examining tax returns and investigating taxpayer delinquency and noncompliance.

Concurrence: *Marie Mesleek (for)*  
Executive Officer for Customer Service

Date: *8/15/97*

WITHDRAWN

Item No.	Description of Record	Authorized Disposition
<b>I. GENERAL ADMINISTRATION AND MANAGEMENT RECORDS</b>		
1.	<p><del>Administrative Files. (Job No. NN-169-10, item 2)</del></p> <p>Correspondence, memoranda, facsimiles, and related documents, which pertain to housekeeping or administration and operation of offices within Customer Service.</p>	<p><del>Destroy when two years old, or when no longer needed, whichever is sooner.</del></p>
2.	<p><b>Calendars and Schedules.</b> (New Item)</p> <p>These records, in paper and electronic formats, document daily activities of the Executive Officer for Customer Service and all other staff members.</p>	<p><b>Destroy</b> when no longer needed for administrative, legal, audit or other operational purposes.</p>
3.	<p><del>Documentation of Membership in Professional Organizations. (Job No. NN-169-10)</del></p> <p>Correspondence, reports, copies of speeches, minutes of meetings, publications, newsletters and other material that relate to membership and participation of Service officials and supervisory employees in professional societies and organizations.</p>	<p><del>Destroy six years after the close of the year, or when no longer needed in current operations, whichever is earlier.</del></p>
4.	<p><del>Legislation and Regulation Records. (Job No. NN-172-48, Item 3)</del></p> <p>Records contain special studies, recommendations, reports and related data on the development of new or revised tax laws and regulations. They involve major policy decisions by the Executive Officer for Customer Service and members of the staff.</p> <p>(1) Record copies of material generated or accumulated in the Office of the Executive Officer for Customer Service</p> <p>(2) All other copies.</p>	<p><b>Transfer</b> to areas of primary functional responsibility when no longer needed for reference.</p> <p><b>Destroy</b> when one year old, or when no longer needed for reference, whichever is sooner.</p>

Item  
No.

Description of Record

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~~5. **Management Survey and Project Records.**  
(Job No. NN-169-10)~~

~~Narrative reports and related documents for local  
implementation at the request of management  
officials.~~

~~(1) Record copy.~~

~~**Destroy** five years after issuance or  
implementation of report, whichever is earlier.~~

~~(2) Extra copies.~~

~~**Destroy** two years after issuance or  
implementation of report, or when no longer  
needed in current operations, whichever is  
earlier.~~

6. **Reading Files.**  
(New Item)

Copies of memoranda, letters, notes, and  
documents that are addressed to or signed by  
the Executive Officer for Customer Service and  
staff members.

(1) Files that pertain to the overall management  
and operations of the Customer Service  
organization.

**Destroy** when two years old.

(2) Files that contain grievance-related  
information.

**Destroy** five years after the case is closed.

(3) Extra copies of correspondence maintained  
for reference purposes.

**Destroy** when the agency determines that they  
are no longer needed for administrative, audit,  
legal or other operational purposes.

~~7. **Routine Correspondence.**  
(Job No. NN-172-48, Item 7)~~

~~Inquiry letters from the general public or other  
government agencies, the replies to which do  
not involve administrative decisions or  
substantive decisions of tax liability.~~

~~**Destroy** inquiries when replies are made or  
information is furnished.~~

Item No.	Description of Record	Authorized Disposition
8.	<p><b>Subject Files.</b> (New Item)</p> <p>These files relate to specific issues that require the attention of the Executive Officer for Customer Service. Records include: correspondence with other Federal agencies; vendors; private companies; organizations; institutions; internal memoranda; staff and contractor studies; reports and related records.</p>	<p><b>Destroy</b> when five years old or when no longer needed, whichever is sooner.</p>
<del>9.</del>	<p><del><b>Summaries of National Office and Regional Commissioners' Conferences.</b></del> (Job No. NN-169-10)</p> <p><del>Documentation of meetings held in the National Office, attended by the Regional Commissioners. These records also include information on decisions reached and action items.</del></p>	<p><del><b>Destroy</b> six years after the end of the year.</del></p>
	<p><del>(1) Record copies.</del></p>	<p><del><b>Destroy</b> one year after the end of the year.</del></p>
10.	<p><b>Interagency Agreements.</b> (New item)</p> <p>Records include correspondence, coordinations, approvals, and supporting documentation of agreements pertaining to the Tax Refund Offset Program and other similar programs or agreements between IRS and other Federal agencies. They also include agency certification letters, and agreements covering reimbursable services.</p>	<p><b>Retire</b> to the Washington National Records Center when five years old. <b>Destroy</b> when 25 years old.</p>

Item No.	Description of Record	Authorized Disposition
11.	<b>Employee Suggestions.</b> (General Records Schedule 1, Item 12(1))	
	Case files including original copy of the employee suggestion form, correspondence, evaluations, etc.	
	(1) Employee suggestions recommending changes to non-tax or administrative issues.	<b>Destroy</b> two years after approval or disapproval.
	(2) Employee suggestions recommending changes to tax processing, forms and tax law.	<b>Destroy</b> when ten years old.
12.	<b>Internal Audit Reports</b> (Job No. N1-87-7, Item 26)	
	Narrative reports prepared by Internal Audit, and related correspondence.	<b>Destroy</b> after five years or when no longer needed in current operations, whichever is sooner.
13.	<b>GAO Reports</b> (New Item)	
	Copies of reports dealing with Customer Service issues, correspondence generated in response to the report, and related background information.	<b>Destroy</b> when five years old, or when no longer needed in current operations, whichever is sooner.

Item No.	Description of Record	Authorized Disposition
<b>II. PROGRAM AND FUNCTIONAL RECORDS</b>		
14.	<p><b>Federal Unemployment Tax Act (FUTA) Certification Program Records (1970 to the Present)</b> (New Item)</p>	
	<p>(1) Files related to the overall Program, which document the development of the FUTA. Documentation may include analyses, coordination, approvals and disapprovals, recommendations, plans and implementation instructions for the plans; and background material. (Cutoff files annually) Volume: 4.5 c.f. Annual Accumulation: .5 c.f.</p>	<p><b>Permanent.</b> <b>Retire</b> to the Federal Records Center when five years old, or when no longer needed in current operations, whichever is sooner. <b>Transfer</b> to the National Archives when ten years old.</p>
	<p>(2) Administrative, management and organization files related to the creation and ongoing development of the FUTA Program. (Cutoff files annually.)</p>	<p><b>Destroy</b> when 25 years old.</p>
	<p>(3) Reference or extra copies of records listed in (1) and (2).</p>	<p><b>Destroy</b> when two years old.</p>
	<p>(4) System Program Test Documentation. Files relate to systems acceptance testing for the FUTA. They include system test specifications, test runs, listing of test data and test results.</p>	<p><b>Destroy</b> one year after completion of test.</p>
	<p>(5) Annual Service Center Work Plan. Files include background information for the Annual Program Memo for the Service Center Work Plan.</p>	<p><b>Destroy</b> when three years old.</p>

Item No.	Description of Record	Authorized Disposition
15.	<p><b>Combined Annual Wage Reconciliation (CAWR) Balancing Files (1978 to Present)</b> (New Item)</p> <p>(1) Files related to the overall Program, which document the development of the Combined Annual Wage Reconciliation (CAWR). Documentation may include analyses, coordination, approvals and disapprovals, recommendations, plans and implementation instructions for the plans; and background material. (Cutoff files annually.) Volume: 25.5 c.f. Annual Accumulation: 1.5 c.f.</p> <p>(2) Administrative, management and organization files related to the creation and ongoing development of the CAWR Program. (Cutoff files annually.)</p> <p>(3) Reference or extra copies of records listed in (1) and (2).</p> <p>(4) System Program Test Documentation. Files relate to systems acceptance testing for CAWR. They include system test specifications, test runs, listing of test data and test results.</p> <p>(5) Annual Service Center Work Plan. Files include background information for the Annual Program Memo for the Service Center Work Plan.</p>	<p><b>Permanent.</b> <b>Retire</b> to the Federal Records Center when five years old, or when no longer needed in current operations, whichever is sooner. <b>Transfer</b> to the National Archives when ten years old.</p> <p><b>Destroy</b> when 25 years old.</p> <p><b>Destroy</b> when two years old.</p> <p><b>Destroy</b> one year after completion of test.</p> <p><b>Destroy</b> when three years old.</p>
16.	<p><b>Backup Withholding Program (BWH) for Missing and Incorrect TIN's (1994 to the Present)</b> (New item)</p> <p>(1) Files related to the overall Backup Withholding (BWH) Program, which document the development of the BWH. Documentation may include analyses, coordination, approvals and disapprovals, recommendations, plans and implementation instructions for the plans; and background material. (Cutoff files annually.) Volume: 10.5 c.f. Annual Accumulation: .5 c.f.</p>	<p><b>Permanent.</b> <b>Retire</b> to the Federal Records Center when five years old, or when no longer needed in current operations, whichever is sooner. <b>Transfer</b> to the National Archives when ten years old.</p>

Item No.	Description of Record	Authorized Disposition
	(2) Administrative, management and organization files related to the creation and ongoing development of the BWH Program. (Cutoff files annually.)	Destroy when 25 years old.
	(3) Files related to forms and form letters used in the BWH Program.	Retire to the Federal Records Center when two years old. Destroy when 10 years old.
17.	<b>Alternative Strategies for Tax Administration and Deferred Adverse Tax Consequences (ASTA/DATC) Program</b> (New item)	Destroy when two years old.
	Background information records related to the ASTA/DATC Program.	
18.	<b>Non-Filer Program Reports.</b> (New item)	
	Reports that are completed to monitor non-filer accomplishments and inventories, as well as the procedures to work non-filer cases	Destroy when five years old.
19.	<b>Action 61 Program</b> (New item)	
	Records for the Action 61 Program include correspondence, internal management documents and updates, monthly reports and backup, and copy of Request for Information Services (RIS).	Destroy when five years old.
20.	<b>Correspondence Exam Quality Review Program (CEQMS)</b> (New item)	
	Records for the CEQMS include correspondence, reports and backup, internal management documents and updates.	Destroy when five years old.

Item No.	Description of Record	Authorized Disposition
21.	<p><b>Automated Underreporter Program (AUR) (1980 to the Present)</b> (New item)</p> <p>(1) Files related to the overall Underreporter Program, which document the development of the AUR. Documentation may include analyses, coordination, approvals and disapprovals, recommendations, plans and implementation instructions for the plans, and background material. (Cutoff files annually.) Volume: 24 c.f. Annual Accumulation: 2 c.f.</p> <p>(2) Administrative, management and organization files related to the creation and ongoing development of the AUR Program (Cutoff files annually.)</p> <p>(3) Reference or extra copies of records listed in (1) and (2).</p> <p>(4) Files related to forms and form letters used in the AUR.</p> <p>(5) Program Requirements Packages (PRP).</p> <p>(6) Miscellaneous reports and forms, such as MISTLE and Service Center Error Reports for the AUR.</p> <p>(7) System Program Test Documentation. Files relate to systems acceptance testing for the AUR. They include system test specifications, test runs, listing of test data, and test results.</p> <p>(8) Annual Service Center Work Plan. Files include background information for the Annual Program Memo for the Service Center Underreporter Program.</p>	<p><b>Permanent.</b> <b>Retire</b> to the Federal Records Center when 5 years old or when no longer needed in current operations, whichever is sooner. <b>Transfer</b> to the National Archives when ten years old. <b>Retire</b> to the Federal Records Center when 5 years old.</p> <p><b>Destroy</b> when 25 years old.</p> <p><b>Destroy</b> when two years old.</p> <p><b>Retire</b> to the Federal Records Center when two years old. <b>Destroy</b> when 10 years old.</p> <p><b>Retire</b> to the Federal Records Center 1 year after new PRP is received. <b>Destroy</b> when nine years old.</p> <p><b>Retire</b> to the Federal Records Center when three years old. <b>Destroy</b> when 10 years old.</p> <p><b>Destroy</b> one year after completion of test.</p> <p><b>Destroy</b> when one year old.</p>

Item No.	Description of Record	Authorized Disposition
22.	<p><b>Statute, FTD Penalty, and Interest Files.</b> (New item)</p> <p>Files include personnel, program, organization and policy files for Statute Limitation, Penalty and Reasonable Cause, FTD/IRP Penalties and Interest Programs and responsible employees.</p>	<b>Destroy</b> when three years old.
23	<p><b>Notice Volume Reports.</b> (New item)</p> <p>Files include Run Control Listings for IMF and BMF Notices.</p>	<b>Destroy</b> when three years old.
24.	<p><b>Notice Clarity Files.</b> (New item)</p> <p>These include notices, forms and letter files in binder format. They contain the most recent version of taxpayer notices and an audit trail of changes. These files are accessed each time a proposed change to a notice is received, or to answer requests from Congress, GAO, etc.</p>	<b>Destroy</b> when 30 years old or when no longer needed in current operations, whichever is sooner.
25.	<p><b>Notice Redesign Files.</b> (New item)</p> <p>Files include background information on the purpose and re/design of notices. They are maintained in binder format.</p>	<b>Destroy</b> when 30 years old or when no longer needed in current operations, whichever is sooner.
26.	<p><b>Notice Disposition Reports.</b> (New item)</p> <p>Files include IMF and BMF Notice Review Disposition Reports.</p>	<b>Destroy</b> when four years old.
27.	<p><b>Service Center Electronic Research Project (SERP) Records.</b> (New item)</p> <p>(1) SERP Document Maintenance Files. Files include internal management documents, publications, post-of-duty listings, tax forms,</p>	<b>Destroy</b> when three years old.

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	probe and response guides, lockbox address, and miscellaneous local documents' updates.	
	(2) Training material related to the SERP.	Destroy when two years old.
	(3) SERP Validation Test records.	Destroy when ten years old.
28.	<b>Form 5391, Systems Change Request</b> , and supporting documents. (Job No. NC1-58-80-6, item 11)	Retire to the Federal Records Center when three years old. Destroy when eight years old.
29.	<b>Carrybacks.</b> (New item)	
	Program records related to IRM 3(15)209)0, Carrybacks. They include copies of suggestions, system change requests, letters, National Office Alerts, and prior versions of IRM 3(15)(209)0.	Destroy when three years old.
30.	<b>Payment Tracers.</b> (New item)	
	Program records related to IRM 35(70)0, Payment Tracers. They include copies of suggestions, system change requests, letters, National Office Alerts, and prior versions of IRM 35(70)0.	Destroy when three years old.
31.	<b>National Math Error EIC/Dependent TIN Report.</b> (New item)	Retire to the Federal Records Center when three years old. Destroy when 13 years old.
32.	<b>DP Tax Adjustments.</b> (New item)	
	Program records related to IRM 3(11)(60)0, DP Tax Adjustments. They include copies of suggestions, system change requests, letters, National Office Alerts, and prior versions of IRM 3(11)(60)0.	Destroy when three years old.
33.	<b>Integrated Test Call Survey System (ITCSS). Records</b> (New item)	
	(1) Monitoring program files. These include files which document the daily monitoring of	Destroy when three years old.

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	the ITCSS test call operation. Files contain data used to identify systemic or equipment problems, training needs, and consistency and adherence to established ITCSS procedures.	
	(2) Statistical records. These include yearly compilations of statistical analyses of the ITCSS that document system processes and results.	
	(3) ITCSS Test Question Development Files. These include: background files for all questions developed for use in the ITCSS testing program; technical and legal background; review by the Bureau of Labor Statistics' cognitive psychologist; and review and recommendations by Tax Forms and Publications Division, Chief Counsel, and Income Tax and Accounting Division. They also include statistical analysis and narrative of preliminary testing prior to the beginning of the filing season sample.	<b>Destroy when three years old.</b>
34.	<b>Probe and Response Guide.</b> (New item)	
	Records include past and present editions of the Guide, related feedback forms, employee suggestions, historical data, NTEU agreements related to the Guide, and policy statements.	<b>Destroy when three years old.</b>
35.	<b>Accounts Receivable Records.</b> (New item)	
	Records include statistical table and analysis status report regarding Accounts Receivable, Large Dollar Notice Review and Unpostable Code 305.	<b>Destroy when eight years old.</b>
36.	<b>Frozen Credit Study.</b> (New item)	
	Cross functional study completed by field employees to examine errors, systemic	<b>Destroy when eight years old.</b>

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	problems and incomplete procedures. Recommendations for improvement at all levels of IRS operations.	
37.	<p><b>Root Cause Study.</b> (New item)</p> <p>Cross functional study completed by field employees to examine errors, systemic problems and incomplete procedures. As necessary, recommendations for improvement are made at all levels of IRS operations.</p>	Destroy when eight years old.
38.	<p><b>Economic Analysis Decision Model Records.</b> (New item)</p> <p>These records include: Customer Service Documentation supporting the Economic Analysis Decision Model; briefing presentations; draft and final reports of requirements for model; draft and final reports of economic analysis data gathering; economic analysis test cases; numerous draft decision support model descriptions, with elements, factors and assumptions. Model component documents which have module summary information, input data, output results, flowcharts, source codes. Biweekly status reports from vendor.</p>	<p>Retire to the Federal Records Center when five years old.</p> <p>Destroy when 25 years old.</p>
39.	<p><b>Legacy Program Analysis System (PAS) Project Files.</b> (New item)</p> <p>These records include: Service Center assumptions; background information; sampling information; task force information; internal management documents; and consistency study.</p>	Destroy when three years old.
40.	<p><b>Program Analysis System - Pipeline Computer Paragraph Notices (PAS-CP).</b> (New item)</p> <p>Files pertain to the PAS-CP Program. Data is organized by subject categories and include the following: Notice accuracy rates; monthly</p>	Destroy when three years old.

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	index data; Business Master Plan (BMP); telephone contact sheets; workplan; PAS memoranda; correspondence; Service Center reports; trip reports; etc.	
41.	<p><b>Customer Service Transition - Quality Review Replacement Project.</b> (New item)</p> <p>Records of the working group designing a replacement quality review system for the Customer Service organization.</p>	<p><b>Destroy</b> two years after replacement quality review system becomes operational.</p>
42.	<p><b>Service Center Collection Quality System (SCCQS).</b> (New item)</p> <p>Copies of LOTUS spreadsheets which include data from SCCQS monthly reports.</p>	<p><b>Destroy</b> when three years old.</p>
43.	<p><b>Quality Management Information System (QMIS) Records.</b> (New item)</p> <p>These records include background files, reports and training materials related to QMIS.</p>	<p><b>Destroy</b> when three years old.</p>
44.	<p><b>Special Studies and Task Group Files.</b> (New item)</p> <p>These records relate to a specific project or study from inception to completion. Examples of studies include, but are not limited to, re-engineering efforts, and core business system processes. The records include correspondence, questionnaires, surveys, survey results, status reports, publications, final reports, implementation plans, and equivalent documentation.</p>	<p><b>Destroy</b> when ten years old, or when no longer needed in current operations, whichever is sooner.</p>
45.	<p><b>Management Information Reports</b> (New item)</p> <p>These records include routine statistical, program-related, or ad hoc reports, not covered elsewhere in this schedule, which are</p>	<p><b>Destroy</b> when two years old, or when no longer needed, whichever is sooner.</p>

Item  
No.

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produced in support of Customer Service  
operations.