

| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse) | | LEAVE BLANK (NARA use only) | |
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| TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001 | | JOB NUMBER <i>NI-058-06-7</i> | |
| 1 FROM (Agency or establishment) Department of Treasury | | DATE RECEIVED <i>May 17, 2006</i> | |
| 2 MAJOR SUBDIVISION Internal Revenue Service (IRS) | | 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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10 | |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 Wage and Investment | | | |
| 4 NAME OF PERSON WITH WHOM TO CONFER DANIEL W BENNETT, IRS Records Officer TRUDI CORNISH | | 5 TELEPHONE (202) 283-9359 (202) 283-0904 | DATE <i>9/10/06</i> |
| 5 AGENCY CERTIFICATION | | ARCHIVIST OF THE UNITED STATES <i>Allen Wanta</i> | |
| <p>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>3</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,</p> <p><input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested.</p> <p style="text-align: right;"><i>[Signature]</i> IRS Records Officer</p> | | | |
| DATE May 4, 2006 | SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> Daniel W Bennett | | TITLE IRS Records Officer National Office, OS A RE SC (CP-6, 10) 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| 7 ITEM NO | 8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARA USE ONLY) |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>Adds New Item (C) Audio Digital Recordings and Screen Capture (including digital video screen) images – Non-Evaluative (excluding Centralized Quality) and new Item (D) Audio Digital Recordings and Screen Capture (including digital video screen) images – Non-Evaluative – Centralized Quality.</p> <p>Deletes Item Numbering for Item 1 Data Collection Instrument (DCI) and related records which is already scheduled under GRS 1, Item 18 (1.15.38, Item 18). Refers staff to that Schedule for authority to affect disposition.</p> <p>Revised SF 115 submitted May 4, 2006 re-numbered series to alpha sub-series.</p> <p>Record Control Schedule 31, Customer Service [old RCS 24 for Customer Service]</p> <p>The records covered by this schedule are received and accumulated in the Taxpayer Assistance Centers, Telephone Call-Sites, and Field Assistance Walk-In offices where IRS customers make inquiries regarding Internal Revenue Service rules, policies, and procedures, or make inquiries regarding specific tax matters</p> <p>This Request for Disposition Authority is intended to amend RCS 31, Item 24 <i>IRS Taxpayer Assistance Recorded Quality Control Records</i> to add new Item (C) Audio Digital Recordings and Screen Capture (including digital video screen) images – Non-Evaluative (excluding Centralized Quality) and new Item (D) Audio Digital Recordings and Screen Capture (including digital video screen) images – Non-Evaluative – Centralized Quality. Additionally, this Request for Disposition Authority is intended to amend RCS 31, Item 24 <i>IRS Taxpayer Assistance Recorded Quality Control Records</i> to delete Item Numbering for</p> | | <p><i>cc: Agency, NR, NWMD, NWMWA</i></p> |

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Item 1 **Data Collection Instrument (DCI) and related records** which is already scheduled under GRS 1, Item 18 (1 15 38, Item 18) Refers staff to that Schedule for authority to affect disposition

These records are subject to the Privacy Act of 1974, 5 U S C 552a This record series covers all audio recordings and screen image capture (including digital video imaging) used to randomly review the customer service provided taxpayers by IRS taxpayer assistors The system allows the IRS to improve the quality of service to taxpayers by selecting customer service events and capturing conversations between taxpayers and IRS representatives, as well as the related computer activities the latter used to access information to assist the former These recordings and captured "screen shots" allow IRS managers and quality reviewers to listen to actual contacts and view computer activity in an effort to ensure that accurate and timely information is being provided to the taxpayer

Results of reviews are entered on the data collection instrument (DCI) in the Embedded Quality Review System for performance related reviews and National Quality Review System for non-evaluative reviews The results are maintained in those systems according to the established record control schedule

The recordings are synthesized on a data collecting instrument, a process which captures the general tax matter discussed and the answer, and other assistance provided The DCI and all notes are maintained with the printed digital screen image materials Managers then discuss the contacts with employees in a feedback meeting These meetings are held as soon as possible following the recording and transcribing, however, managers routinely travel between various sites As a result, minor delays between recorded events and events transcription are possible Meetings are usually held within 45 days of the contact, but no later than 90 days Employees can refute the events as transcribed, or can sign that the DCI is accurate. In the event that the employee agrees with the transcription on the DCI and signs - acknowledging the feedback, the recordings and background materials can be destroyed The DCI and notes are placed in the *Supervisors' Personnel File* (a file maintained on the employee and used for short-term periods such as appraisal and one year holds for disciplinary matters The File is scheduled under 1 15 38 Item 18) The hold period for up to 18 months for recordings and screen shots is intended to allow all feedback and administrative actions to occur prior to destruction of these records In the event that these recordings and screen shots are required as background and exhibits for audit, litigation, Congressional interests, and other similar administrative requirements, the records are to be re-scheduled under Authorities appropriate to those functions

Should the employee dispute the events as transcribed, and refuse to sign the DCI, an attempt is made to review the situation Should no resolution be possible, the full recordings and background materials (i.e, printouts of screen shots) must be maintained for future use should they be required for performance or disciplinary reasons in the future These materials are retained for the full appraisal and grievance process time-frames They are maintained with the transcription in the *Supervisors' Personnel Files* (1 15 38 Item 18)

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No recordings are retrieved in a manner that identifies specific taxpayer identifying information including name, or taxpayer identification number.

See the attached sheets.

05/08/06

CUSTOMER SERVICE

| Item No. | Series Description | Authorized Disposition | NARA Job No |
|----------|--|--|------------------|
| 24. | <u>IRS TAXPAYER ASSISTANCE RECORDED QUALITY CONTROL RECORDS (SUBJECT TO PRIVACY ACT OF 1974, 5 U.S.C. 552a)</u> | | |
| | <p>These records are created and maintained for use by managers and reviewers in the Taxpayer Assistance Centers (TAC), Field Sites, and Call Sites. Random recordings of taxpayer/customer service interface are used to measure and assess customer assistance. Records include audio digital recordings of conversations between IRS assistors and taxpayers who visit a Taxpayer Assistance Center (TAC), and the screen capture images of computer sites used to provide assistance. The records are used to improve the quality of IRS responses to taxpayers. Records are identified by unique identifier of the IRS employee involved in the conversation.</p> | | REVISED LANGUAGE |
| | <p>C. Audio Digital Recordings and Screen Capture (including digital video screen) images – Non-Evaluative (excluding Centralized Quality) Original audio digital recording and video screen images that have been used for non-evaluative review and documentation</p> | <p>DESTROY within 18 months when no longer need to evaluate or documentation purposes</p> <p>Note - Field Assistance TAC Sites destroy records at different intervals within 18 month period when records are no longer required to support administrative purposes</p> | NEW |
| | <p>D. Audio Digital Recordings and Screen Capture (including digital video screen) images – Non-Evaluative – Centralized Quality Original audio digital recording and video screen images that have been used for product or non-evaluative review by Centralized Quality</p> | <p>DESTROY within 4 months following all evaluative and product related feedback</p> | NEW |