

Section 19. Automated Underreporter Managers and Coordinators Handbook (Cont. 3)

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1.4.19.5 Security

1.4.19.5.12 Security Reports/User Administration Screen Tabs

1.4.19.5.12.6 (06-01-2006) Unit Tab - Updating the Unit Information Table (AUR Coordinator Only)

1. The AUR coordinator can add or delete units, or change certain information for existing units by accessing the UNIT Administration screen.
2. To add a new unit:
 1. Select **Security** from the main menu.
 2. Select the **user Administration** option.
 3. Click on the UNIT tab. All existing units display.
 4. Click on the ADD A UNIT button. All the information for existing units is cleared and the cursor moves to the UNIT NAME field.
 5. Enter the following fields if not already populated by the system:

In field	Enter the following:
UNIT	new organization code
MGR UID	0000 or the UID of the manager
SHIFT	"D" for Day or "S" for Swing
UNIT NAME	a Unit name
PHONE #	the manager's telephone number

6. Press **<F4>** to commit.

Note:

The current location information for the UID entered is generated into the LOC and LOCATION fields. This must be the location for the new unit, along with other changes, as explained below.

7. Click on the USER tab in the User Administration screen. Access the new manager's account by entering the n

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Note:

It is important to make changes in the sequence listed in steps 8–12 below when making manager changes to

8. Click on the UNIT LOCATION # field and change it to the new location. Press the <Enter> key to move to the (
 9. Change the organization code of the manager to reflect the new unit #.
 10. Press the <Enter> key to move to the PROFILE CODE field and change the code if necessary.
 11. Press the <Enter> key. The Unit Information Table is updated with the correct information for the new unit.
 12. Press <F4> to commit.
3. To delete a unit:
1. Click on the Unit Name to highlight the row.
 2. Click on the DELETE A UNIT button. A window displays showing the unit to be deleted.
 3. Enter "Y" in the Y/N field to acknowledge the correct unit in the window and press <Enter>.

Note:

The message "All Records have been committed to the Data Base" displays.

4. To change information in an existing unit:
1. Click on the field to be changed.
 2. Make the necessary updates.
 3. Press <F4> to commit.

1.4.19.5.12.7 (06-01-2006)

History Tab – Researching User History

1. Historical data for any user can be researched by accessing the User History window as follows:
 1. Select **Security** from the main menu.
 2. Select the **user Administration** option.
 3. Click on the HISTORY tab. The History window displays with the cursor in the ENTER LCT and UID # field.
 4. Enter the UID of the user to be researched and click the Query button.
2. All historical security data for the user displays. This screen is for information only, since no fields can be updated or cl
 - A. All current data for the user appears at the top half of the screen, including the date and time of the most recent UID of the manager who made the change to the user's security information. The LCT field indicates the camp
 - B. The data under the heading HISTORICAL USER INFORMATION, is the prior security changes and are shown most current change, in reverse date order, and UID of the manager who made the change. Scroll down for ad

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3. To query data for another User:
 1. Click the CLEAR PAGE button.
 2. Enter the UID of the User to be researched.
 3. Click the query button.

1.4.19.6 (06-01-2006) AUR Coordinator

1. The success of the AUR program in each center depends upon thorough coordination of all the affected functions, including Underreporter, Receipt and Control, Returns Files, Modernization & Information Technology Services (MITS), National Machine Services, Planning and Analysis, and Compliance activities. Much of this will be the responsibility of the AUR Coordinator. Since this program requires constant, careful monitoring, each AUR site will ensure all responsible functions are aware of the activities and time frames of the other affected functions. During the program, a designated individual will monitor the progress to ensure it is progressing per the schedule reflected on the program planning documents. Any subsequent revisions to the schedule will be sent to the appropriate AUR headquarters office.
2. In addition, the AUR coordinator is responsible for
 - Ordering Extracts
 - Setting Notice Letter Mailout dates and volumes
 - Entering the CP 2000 and CP 2501 Local paragraphs
 - Setting Batch and Control Parameters
 - AUR Balancing and Control
 - Setting Extract Reorder Dates
 - Monitoring the runs to ensure extract accuracy.
3. Program benchmark dates of the CP 2501, CP 2000, and Statutory Notice phases of the Underreporter Program are in the Operating Guidelines provided by either the W&I or SBSE AUR headquarters office.

1.4.19.6.1 (06-01-2006) AUR Inventory Selection

1. Automated AUR Inventory selection process accepts download file AURX009 (X = tax year) of the Underreporter inventory correlation from Martinsburg Computing Center (MCC). The process allows the AUR coordinator the ability to review the file line and make inventory selections from the following:
 - Subfiles
 - Categories
 - Subcategories
2. The file created (AURx037) for each selection (extract) is then uploaded to MCC for the inventory selection.

1.4.19.6.1.1 (06-01-2006) Subfiles

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1. AUR inventory is separated into 17 Subfiles.

Note:

Subfile 1 cases are not downloaded to the AUR database and are not included in the total inventory.

2. IMF/Underreporter records are generated for the following subfiles:

- Subfile 2 — IRS Employees
- Subfile 6 — All other Taxpayers (non-IRS)
- Subfile 9 — Returns filed with ITIN
- Subfile B — Credit Tax Change.
- Subfile C — Stock, Bond and Real Estate Discrepancy
- Subfile D — U/R income Greater than \$10,000
- Subfile E — EITC present
- Subfile F — Mortgage Interest Over-deduction
- Subfile G - U/R Income Greater than \$10,000 -Repeaters
- Subfile H — 1040NR International with ITIN
- Subfile I — Potential Unproductive Repeaters
- Subfile J — 1040EZ - Single Issue (Auto-Generated Notices)
- Subfile K — Discrepancy with EIN Document
- Subfile L — Multi-Year Repeater
- Subfile M - K-1 discrepancy of \$100 or more
- Subfile S - 1040NR International with SSN

Note:

The TC 922 History Code used for repeater cases in Subfile G, I, and L includes the Category Code related to the und category the case was created in the prior year. The category displays as part of the TC 922 History Code.

3. Subfile 2 contains all currently examined, non-examined, and previously examined employee underreporter cases. The processed in accordance with procedures in IRM 4.19.3, IMF Underreporter Program. This subfile is selected as a sep which provides more efficient controlling of these cases. Employee cases are automatically moved into Employee Batc
4. A case from any Subfile may be treated as a Subfile 2 case if it is independently known that the individual is currently € IRS.

**1.4.19.6.2 (06-01-2006)
Ordering Inventory**

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1. The AUR coordinator is responsible for input of the inventory selection. To access the Order Inventory screen, select a the main menu and click on the **Order inventory** option. The cursor will display in the EXTRACT CYCLE box.

Note:

Beginning with TY 2005 cases, it is anticipated that all inventory selection will be done by HQ AUR and will no longer b

2. Follow these instructions for each extract:
 1. Enter the cycle date for the extract to be selected.

HINT: To select a new cycle press **<F2>**, to delete a cycle press **<F3>**. The cursor moves to the SUBCATEGORIES field. If necessary, press **<Tab>** to move the cursor to the SUBCATEGORIES field.

2. To view/select inventory from a specific Subfile, move the cursor to the SUBFILE field.
3. Click on the arrow to scroll through the available subfiles.
4. Click on the desired subfile, the system will display the Categories/subcategories available in that subfile.
5. To make a selection from a specific subcategory use the tab key to move from one subcategory to the next.
6. To view additional subcategories use the tab key. The available volume for each subcategory displays.
7. To select a volume from a specific subcategory enter the volume in the SELECTED field. The system will autor the beginning volume to the remaining volume for selection.
8. Continue this process until the desired volume for the extract has been met.

Note:

Commit <F4> the screen before exiting, even if the selection is not complete. After the selection for each extract is co COMPLETE box. This will indicate that the extract is ready to be uploaded to MCC.

Note:

If the COMPLETE button is not clicked "on" , the extract will not be sent to MCC for selection. If the upload date is not COMPLETE box can be reversed to allow changes to the extract selection. Once the extract has been forwarded to M DT will display the date it was sent.

1.4.19.6.2.1 (06-01-2006) Correlation Field

1. The CYCLE box displays the cycle in which the correlation was selected. Each time a correlation is downloaded the cy in this window. If there are multiple cycles, they display in numerical order. To view all correlation cycles click on the ar field. To select a correlation cycle, click on the desired cycle.

Note:

Once the second correlation has been downloaded you can no longer select inventory from the first correlation.

2. The TOTAL box displays the total count of inventory that has been selected from all ordered extracts.

1.4.19.6.2.2 (06-01-2006) Subfile Field

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1. The SUBFILE box displays all available sub-files in the correlation. Additional sub-files can be displayed by clicking on SUBFILE field.
2. The TOTAL box displays the total volume available from the specified subfile. This total changes as selections are made.

1.4.19.6.2.3 (06-01-2006)

The Extract Field

1. The CYCLE box displays the cycle date for an ordered extract. Additional cycle dates can be displayed by clicking on the CYCLE field. Multiple cycle dates display in numeric order.
2. The TOTAL box displays the total volume of cases ordered for the specified extract.
3. The UPLOAD DT box displays the date that the extract was uploaded to MCC.
4. The COMPLETE box must be clicked on after each extract is completed.

1.4.19.6.3 (06-01-2006)

AUR Runs

1. Additional information on Run consideration is located in the current year AUR Processing Guide. This document is available to the MITS staff.
2. It is important that the runs are balanced timely. Balancing of runs can detect problems which are corrected easier when detected early. Early detection and correction of problems maintains the integrity of the database. The AUR coordinator should use the instructions to balance.

AUR RUN	DESCRIPTION	BALANCE & CONTROL
AURX001	Download IRP — The data in this run is provided from MCC via File Transfer Protocol (FTP) on the URP45 and loads the Underreporter Transcript information to the AUR database. This is run for every extract.	<ul style="list-style-type: none"> • The Total Case Majors Processed on AURX001 should match the Total RTF Cases Inserted on AURX005. • Total Case Majors Processed should also match the volume of Process Codes 03 and 06 on the PC Status Report <p>Note:</p> <p>If the volume on AURX001 and Process Codes 03 and 06 do not match, contact the SA.</p> <ul style="list-style-type: none"> • Total Case Majors Processed should approximate Total Records Processed on AURX089 • The volume on AURX001 should also match the volume scheduled for the

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		extract.
AURX003	Download TIF — This run accepts file WTU1015 as input and contains the Taxpayer Information File (TIF). This run contains the TIF for each extract and weekly TIF updates.	Verify all tax years are run weekly.
AURX005	Download RTF — The data is provided from MCC via FTP on the URP65 and contains the Return Transaction File (RTF) or transcription lines from the taxpayer's return when originally processed and subsequent actions. For every AURX001 there is a corresponding AURX005.	<ul style="list-style-type: none"> The Total RTF Cases Inserted should match the Total Case Majors Processed on AURX001. SSNs are displayed where Major/Minor information was not downloaded into the system. <p>Note: Inventory cuts may affect volume.</p>
AURX006	Download TRDB - This is run for every extract and loads the electronic return information to the AUR database.	Ensure the run is successful - there is no balance or control for this run.
AURX007	Download Payer Agent — This is a weekly run, which selects records from the Payer Agent table and updates the system with the new Payer Agent information.	Verify AURX007 is run weekly.
AURX009	Download Inventory — The AURX009 is run twice a year, once for the first correlation and again for the second correlation. The data is provided from MCC via FTP. Each download is comprised of available cases based on subfile, category, and subcategory. The AUR coordinator uses this data to create records to be uploaded to MCC by AURX037 (Upload Select Categories). All data loaded into the database is also written to the Available Inventory Report.	
AURX015	Download Employee Cases — This program downloads employee SSNs and spouse SSNs to the IRS EMPLOYEE table. The data is used to update previously unidentified employee cases in AURX059. The	Verify the run is completed every other week.

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	AURX015 connects to all tax years.	
AURX017	Download POA — This downloads Power of Attorney addresses into the AUR database from the 16093 run.	<ul style="list-style-type: none"> • Verify the run is completed weekly for the current tax year. • The primary SSN displays if a notice was generated for the POA.
AURX018	Download SADA — This program downloads Spouses at Different Addresses into the AUR database from the 16093 run.	<ul style="list-style-type: none"> • Verify the run is completed weekly for the current tax year. • The primary SSN displays if a notice was generated for the spouse.
AURX019	Download Interest — This program updates the CP 2000 trans and CP 2000 history tables with interest as determined by the UR SCRS runs.	<ul style="list-style-type: none"> • The Total Records Processed should match the Total Majors Expected on AURX022. • The Total Interest Rejects should match the volume of rejects on the AUR Reject Listing <p>Note:</p> <p>Verify clerical has printed the Reject List.</p>
AURX020	Build CP 2501 Record— This run creates the AURX02020 for input to AURX080. This contains the data that creates the CP 2501. This run is performed on cases with a CP 2501 PC after the system has disassembled the batch and is run weekly.	<ul style="list-style-type: none"> • Total Case Majors Processed should match the sum of PC 30 and PC 3A on the PC Status Listing. • Total Case Majors Processed should also match the Number of Initial Contact Notice Majors on the AURX080 • The Total Case Majors Processed should also match the CP 2501 Label volume on AURX084.
AURX021	Build Stat Records — This run creates the AURX02120 for input to AURX082 which contains Stat Notice data on cases with Stat PC 75 after the system has disassembled the batch.	<ul style="list-style-type: none"> • Total Case Majors Processed (Review Data) should match the Notice Count of the first 3 items under STATs on the AURx082 • Total Case Majors Processed (Review Data) should also match the volume of Stat Labels on the AURX084

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		<ul style="list-style-type: none"> Total Case Majors Processed (Review Data) should also match the sum of PC 75 and PC 7A on the PC Status Listing.
AURX022	Build CP 2000 Records — This run creates file AURX02220 for input to the AURX082. This run is performed on cases with a CP 2000 PC after the system has disassembled the batch.	<ul style="list-style-type: none"> Total Majors Expected should match Total Records Processed on the AURX019. The Total Majors Expected should also match the sum of PC 55, A5, 57, A7, 59, A9, 95, and 9A on the PC Status Listing The Total Majors Expected should also match the CP 2000 and Recompute/Amended Labels on the AURX084. The Total Case Majors Processed should also match the first 5 items for CP 2000s on the AURX082. <p>Note:</p> <p>AURX084 may not balance because cases with Process Codes 95 and 9A, notice indicator 7, 8, or 9, and cases with a "D" ; (deleted) do not receive new labels. Employee cases do not receive new labels for subsequent notices/letters.</p>
AURX023	Upload POA Key — This program creates a file of Power of Attorney keys from the 16093 run. These keys are used to get updated POA information from Masterfile.	The volume should be equal to or less than the total of AURX020, AURX021, AURX022, and AURX088 plus rejects. Verify run weekly for the most current tax year.
AURX025	Upload SADA Request — This program creates a file of Spouses at Different Address requests. These requests are input into URX34 and used to get new information about spouses with different addresses from the NAP.	Verify run weekly.
AURX026	Upload Correspondex — This program identifies new record values to request the	Verify run daily. This process is only run for the current tax year

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	creation of IDRS letters to be mailed.	and merges correspondex for all tax years.
AURX028	Build Research Request — This run creates a file for input to TRS90. It contains requests for tax returns or transcripts via tax examiner request on AUR or automatic system reorder. This run is performed daily.	Verify run daily.
AURX029	Upload Pending Interest — This is an FTP process for input into URX23. The file contains data necessary to compute CP 2000 interest.	<ul style="list-style-type: none"> Total Records Processed should match the sum of volume from the AURX022 plus total rejects from the AUR Reject Listing. Total Records Processed should also match the Total Records Read on the AURX019 Verify run weekly.
AURX030	Upload Address Change/Assessments — This daily run creates a file of assessments and address change information. It is uploaded to EOD10, which updates IDRS and Master File.	<ul style="list-style-type: none"> Verify run daily. Address changes and Assessments are uploaded on the day after batches are disassembled (i.e., Monday address changes/assessments display on Tuesday's AURX030 run. Friday's display on the following Monday or on Tuesday if Monday is a holiday). This program is only run for the current tax year and merges address changes and assessments for all tax years. <p>Note: Assessment process codes are uploaded the previous week.</p>
AURX032	Upload PC — This program creates a file for input to URX53. The file can contain more than one set of process code data for each SSN. The PC Status Listing and MISTLE report are created from this data.	<ul style="list-style-type: none"> Total Records Written to Output should match the Service Center Total PCs on the PC Status Listing The Total Records Written to Output should also match URX53-49. Verify run weekly.
	Upload Third Party — The	

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AURX034	output file is transmitted to MCC via FTP. This run connects all tax years and merges all Third Party Contacts.	This is a weekly run for the most recent tax year only.
AURX035	Upload Notice Count	
AURX037	Upload Select Categories — This process creates a file containing the selected Subfile, Category and Subcategory for each extract. The data is electronically transmitted to MCC. The AURX037 transmits its output file to MCC via FTP.	
AURX039	Upload State Disclosure — This run contains the state disclosure data, which is sent to the state tax agencies. The information is generated by AURX049. This upload is run monthly. At the end of each quarter, three months of data is merged before being forwarded.	Verify run monthly, normal run is the last Sunday of the month.
AURX041	Part Agreed Notices — This run provides the functions necessary to upload CP notice (IPC RN/SR) information from Batch Type 67 and/or Batch Type 87 in AB status. The notice dates are systemically uploaded to create CP notices for the Taxpayer or to only update the new CP information on the database and not generate a notice.	
AURX043	Auto Notice — This run produces cases for Extracts 27 and 28	<ul style="list-style-type: none"> Total Category 48 Cases Processed should approximate sum of AGN cases
AURX045	Upload Suspense Count - This run determines the number of suspense cases in each unit location.	
AURX046	Disassemble Batches — This run provides the functions necessary to disassemble a batch that is in RB status. Closure, Fraud, Research, Wrong Pull, Assessments, Notice/Letter cases are systemically or clerically rebatched into a new batch, based on PC/IPC.	This program is run daily.
	Disassemble Employee Batches — This run provides the functions	

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AURX047	necessary to disassemble employee cases in Batch Types 91 and 92.	
AURX049	Create Disclosure Trans - this process prepares disclosure data from CP2000 notices for states with disclosure agreements. If the case state code is for a participating state and the total adjustment amount is equal to or greater than the state tolerance level, processing continues, if not, the case is bypassed. IRs from foreign income cannot be disclosed to states - these are deleted from the total adjustment amount.	
AURX057	Suspense Aging - This run performs functions necessary to perform aging processing.	
AURX058	Employee Suspense Aging - This run performs functions necessary to perform employee aging processing.	
AURX059	Update (Employee) Case — This module checks all primary and secondary SSNs against SSNs in IRS EMPLOYEE. The data is used to update previously unidentified employee cases in AURX059.	AURX059 should be run only when AURX001 and/or AURX015 are run.
AURX061	Delete Sequence Suspense	
AURX067	Build Suspense Batches	
AURX071	Audit Trail/Process Security Data - This run creates a log file for processing and updating the AUDIT TRAIL Table.	
AURX075	Produce Interim Response Letters — This process identifies and creates a record for cases that meet the criteria for automatic generation of a 2645C letter.	Verify program is run daily.
AURX080	Produce CP2501 Letter — This run produces CP 2501 notices. This run also provides the volume of CP 2501 for the On-line Notice Review Process.	<ul style="list-style-type: none"> • Number of Initial Contact Notice Majors should match the total of PCs 30 and 3A on the PC Status Listing. • Number of Initial Contact Notice Majors should also match Total Case Majors Processed on the AURX020.

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		<ul style="list-style-type: none"> • Verify run weekly.
AURX082	Produce CP2000/STAT Notices — This run produces CP 2000 and Statutory notices. This run also provides the volume of CP 2000 and Statutory notices for the On-line Notice Review Process.	<ul style="list-style-type: none"> • The sum of the first 5 items under CP2000s should match the volume of Total Case Majors Processed on the AURX022 • The sum of the first 3 items under Stat Notices should match the volume of the Total Case Majors Processed on the AURX021. • Verify run weekly.
AURX084	Produce Suspense Labels — This run selects SSN and label data to produce bar-coded labels/folders for association with cases.	<ul style="list-style-type: none"> • CP2501 Labels volume should match Total Case Majors Processed on the AURX020. • The CP2000 Labels should match the AURX022 plus rejects and minus cases with Notice Indicator 7, 8, 9. (The AUR Notice Date List can also be checked for an approximate volume match.) • The Stat Labels volume should match Total Case Majors Processed on the AURx021 and the sum of Process Codes 95 and 9A <p>Note: Cases in Batch Types 34, 47, and 60 also receive labels/folders.</p>
AURX088	Produce Acknowledgement / Closure Letter — This run produces acknowledgement and closure letters (CP 2005 & CP 2006).	<p>Verify run weekly.</p> <ul style="list-style-type: none"> • Compare total Acknowledgement Letters processed to the sum of PCs: 35, 36, 38, 62, 63, 64, 82, 83 and 85 from the PC Status Report. • Compare the Total Closure Letters processed to the sum of PCs: 39, 47, 48, 51, 69, 70, 74, 89, 91 and 93 from the PC Status Report.

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