EFFECTIVE DATE

(08-16-2024)

PURPOSE

(1) This transmits a revision to IRM 3.30.30, Work Planning and Control - Embedded Quality for Submission Processing (EQSP) System.

SCOPE

(1) IRM 3.30.30 is intended to be used by Quality Reviewers and all levels of management that use the EQSP database to input review data.

MATERIAL CHANGES

(1) IRM 3.30.30.1.5 (1) - Changed EQSP System Access from Internet Explorer to Edge. IPU 22U0495 issued 04-13-2022.

(2) IRM 3.30.30.1.5 (1) - Updated the Microsoft's Edge browser, EQSP login website address. IPU 23U0965 issued 09-20-2023.

(3) IRM 3.30.30.1.5 (2) - Changed the Submission Processing Research Portal to Submission Processing IRM Portal. IPU 23U0965 issued 09-20-2023.

(4) IRM 3.30.30.1.5 (2) - Changed the Microsoft's Edge browser, Submission Processing Research Portal website address to the Servicewide Electronic Research Program (SERP) - Submission Processing (SP) Portal website address. IPU 23U0965 issued 09-20-2023.

(5) IRM 3.30.30.2 - Embedded Quality for Submission Processing (EQSP) System Overview, Editorial Changes: Changes made throughout the section to update title change, grammar, titles, website addresses, legal references, office symbols (updated Wage and Investment (W&I) to the new Taxpayer Services (TS)), and IRM references.

(6) IRM 3.30.30.2.2 - Operations and Functions in the EQSP System, Editorial Changes: Updated organizational terms, titles, and acronyms that are relevant to the section.

(7) IRM 3.30.30.2.4 - Quality Reviewer Training, Editorial Changes: Updated "Integrated Talent Management" terms, titles, and acronyms that are relevant to the section.

(8) IRM 3.30.30.2.5 - Quality Reviewer Requirements, Editorial Changes: Changes made throughout the section to update grammar and Plain Language changes including using simpler words.

(9) IRM 3.30.30.2.6 (2) - Changed the Microsoft's Edge browser, Submission Processing Research Portal website address to the Servicewide Electronic Research Program (SERP) - Submission Processing (SP) Portal website address. IPU 23U0965 issued 09-20-2023.

(10) IRM 3.30.30.2.7 - Quality Review Types, Editorial Changes: Changes made throughout the section to update grammar and Plain Language changes including using simpler words.

(11) IRM 3.30.30.3 (6) - Roles, Editorial Changes: Updated organizational terms, separated Team Manager/Team Leader role into separate roles.

(12) IRM 3.30.30.3 (11) - Changed EQSP Program Access from Online 5081 to Business Entitlement Access Request System (BEARS). IPU 22U0495 issued 04-13-2022.

(13) IRM 3.30.30.3 (11) a) - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(14) IRM 3.30.30.4 - System Requirements, Updated office symbols to new Taxpayer Services (TS) office symbol that are relevant to the section.

(15) IRM 3.30.30.4 (1) c) - Changed EQSP System Access from Internet Explorer to Edge. IPU 22U0495 issued 04-13-2022.

(16) IRM 3.30.30.4 (3) - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(17) IRM 3.30.30.4 (3) - Updated BEARS System Requirements. IPU 23U0965 issued 09-20-2023.

(18) IRM 3.30.30.4 (3) - System Requirements, Removed Cincinnati and Fresno from EQSP BEARS request access.

(19) IRM 3.30.30.4 (4) - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(20) IRM 3.30.30.4 (4) - Updated the EQSP BEARS request Special Instructions section.

(21) IRM 3.30.30.4 (5) - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(22) IRM 3.30.30.4 (6) - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(23) IRM 3.30.30.4 (6) - Removed Password Requirements. IPU 23U0965 issued 09-20-2023.

(24) IRM 3.30.30.4 (6) - System Requirements, Removed approved password within 7 days of receiving BEARS' approval request.

(25) IRM 3.30.30.4 (8) - Deleted paragraph. IPU 23U0965 issued 09-20-2023.

(26) IRM 3.30.30.4 (8) - System Requirements, Change 45 days to 60 days to automatically have EQSP account locked.

(27) IRM 3.30.30.4 (9) - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(28) IRM 3.30.30.4 (10) - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(29) IRM 3.30.30.4 (11) - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(30) IRM 3.30.30.4.1 (1) - Changed EQSP System Access from Internet Explorer to Edge. IPU 22U0495 issued 04-13-2022.

(31) IRM 3.30.30.4.1 (1) - Add Single Sign On (SSO) Login option to Accessing the EQSP System. IPU 23U0659 issued 05-25-2023.

(32) IRM 3.30.30.4.1 (1) - Updated Note with Single Sign On (SSO) Login information. IPU 23U0659 issued 05-25-2023.

(33) IRM 3.30.30.4.1 (1) - Updated the Microsoft's Edge browser, EQSP login website address. IPU 23U0965 issued 09-20-2023.

(34) IRM 3.30.30.4.1 (1) - Add User Login, Single Sign On Authentication button information. IPU 23U0965 issued 09-20-2023.

(35) IRM 3.30.30.4.1 (1) a) - Deleted Single Sign On (SSO) Login option. IPU 23U0965 issued 09-20-2023.

(36) IRM 3.30.30.4.1 (1) b) - Deleted See Single Sign On (SSO) or Username/Password Login Screen note. IPU 23U0965 issued 09-20-2023.

(37) IRM 3.30.30.4.1 (1) b) - Updated Reminder note. IPU 23U0965 issued 09-20-2023.

(38) IRM 3.30.30.4.1 (2) - Deleted paragraph. IPU 23U0965 issued 09-20-2023.

(39) IRM 3.30.30.4.1 (3) - Deleted paragraph. IPU 23U0965 issued 09-20-2023.

(40) IRM 3.30.30.4.1 (4) - Deleted paragraph. IPU 23U0965 issued 09-20-2023.

(41) IRM 3.30.30.4.1 (5) - Deleted paragraph. IPU 23U0965 issued 09-20-2023.

(42) IRM 3.30.30.4.1 (6) - Paragraph renumbered to (3). IPU 23U0965 issued 09-20-2023.

(43) IRM 3.30.30.4.1 (7) - Paragraph renumbered to (4). IPU 23U0965 issued 09-20-2023.

(44) IRM 3.30.30.4.1 (8) - Paragraph renumbered to (5). IPU 23U0965 issued 09-20-2023.

(45) IRM 3.30.30.4.1 (8) - Accessing the EQSP System, Change Site Administrator title to Site Improvement Specialist.

(46) IRM 3.30.30.4.1 (9) - Changed EQSP System Access from Internet Explorer to Edge. IPU 22U0495 issued 04-13-2022.

(47) IRM 3.30.30.4.1 (9) - Paragraph renumbered to (6); changed the OS GetServices web-link to IRS Service Central portal web-link. IPU 23U0965 issued 09-20-2023.

(48) IRM 3.30.30.4.1 (9) - Accessing the EQSP System, Delete line.

(49) IRM 3.30.30.4.1.1 - Deleted Section. IPU 23U0965 issued 09-20-2023.

(50) IRM 3.30.30.4.1.1 (1) a) - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(51) IRM 3.30.30.4.1.1 (1) b) - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(52) IRM 3.30.30.5 (2) - Revised System Profiles (Permissions) - System Administrator e) information. IPU 23U0965 issued 09-20-2023.

(53) IRM 3.30.30.5 (2) - System Profiles (Permissions), Editorial Changes: Changes made throughout the section to update grammar and Plain Language changes including using simpler words. Updated organizational terms, titles, and acronyms that are relevant to the section.

(54) IRM 3.30.30.6.1 (2) - Replaced Job Series with Work Status Code from Manager's Main Menu Screen. IPU 22U0949 issued 09-14-2022.

(55) IRM 3.30.30.6.1 (2) - Updated Menu layout for Figure 3.30.30-1, Manager Main Menu Screen. IPU 23U0965 issued 09-20-2023.

(56) IRM 3.30.30.6.1 (3) g) - Deleted Change Password hyperlink information. IPU 23U0965 issued 09-20-2023.

(57) IRM 3.30.30.6.1 (3) h) - Deleted Self-Unlock Options information. IPU 23U0965 issued 09-20-2023.

(58) IRM 3.30.30.6.1.1 (1) - Updated Figure 3.30.30-2, replaced Job Series with Work Status Code on the Add Employee Profile Screen. IPU 22U0949 issued 09-14-2022.

(59) IRM 3.30.30.6.1.1 (1) - Updated Menu layout for Figure 3.30.30-2, Creating an Employee's Profile. IPU 23U0965 issued 09-20-2023.

(60) IRM 3.30.30.6.1.1 (3) e) Reminder - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(61) IRM 3.30.30.6.1.1 (3) i - Removed Job Series from Employee's Profile Information. IPU 22U0949 issued 09-14-2022.

(62) IRM 3.30.30.6.1.2 (1) Note - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(63) IRM 3.30.30.6.1.2 (2) - Updated Menu layout for Figure 3.30.30-4, Search for Employee Profile Screen. IPU 23U0965 issued 09-20-2023.

(64) IRM 3.30.30.6.1.2 (4) - Updated Menu layout for Figure 3.30.30-5, Manager's Main Menu Screen (Search Results). IPU 23U0965 issued 09-20-2023.

(65) IRM 3.30.30.6.1.2(4) a - Updated Figure 3.30.30-6, added new action buttons on the Edit Employee Profile Screen. IPU 22U0949 issued 09-14-2022.

(66) IRM 3.30.30.6.1.2 (5) - Added new action buttons on the Edit Employee Profile Screen. IPU 22U0949 issued 09-14-2022.

(67) IRM 3.30.30.6.1.3 (3) Note - Changed EQSP Program Access from Online 5081 to BEARS. IPU 22U0495 issued 04-13-2022.

(68) IRM 3.30.30.6.2 (1) - Proxy Role, Added note to Proxy Role.

(69) IRM 3.30.30.6.2.3 (3) b - Redesigned Figure 3.30.30-7, added a Delete Button to terminate a proxy role, on the Manage Proxy Screen. IPU 22U0949 issued 09-14-2022.

(70) IRM 3.30.30.6.2.3 (4) - Added Delete Button to terminate a proxy role, on the Manage Proxy Screen. IPU 22U0949 issued 09-14-2022.

(71) IRM 3.30.30.6.2.3.2 (2) a - Removed red X from terminate proxy role instructions, on the Manage Proxy Screen. IPU 22U0949 issued 09-14-2022.

(72) IRM 3.30.30.6.2.4.1 (1) b - Redesigned Figure 3.30.30-8, added Return to Home Role and Use Proxy buttons to the Use Proxy Screen. IPU 22U0949 issued 09-14-2022.

(73) IRM 3.30.30.6.2.4.1 (2) - Update the Use Proxy Screen display instructions. IPU 22U0949 issued 09-14-2022.

(74) IRM 3.30.30.6.2.4.2 (2) a - Replace Arrow Icon with Use Proxy Button on the Use Proxy Screen. IPU 22U0949 issued 09-14-2022.

(75) IRM 3.30.30.6.2.4.2 (2) e) - Updated Menu layout for Figure 3.30.30-9, Main Menu Screen Displaying the Assigned Proxy. IPU 23U0965 issued 09-20-2023.

(76) IRM 3.30.30.6.2.4.3 (2) a - Replace Arrow Icon with Return to Home Role Button on the Use Proxy Screen. IPU 22U0949 issued 09-14-2022.

(77) IRM 3.30.30.7.1 (1) - Updated Menu layout for Figure 3.30.30-10, Reviewer's Main Menu Screen. IPU 23U0965 issued 09-20-2023.

(78) IRM 3.30.30.7.1 (2) d) - Deleted Change Password information. IPU 23U0965 issued 09-20-2023.

(79) IRM 3.30.30.7.1 (2) e) - Deleted Self-Unlock Options information. IPU 23U0965 issued 09-20-2023.

(80) IRM 3.30.30.7.1.1 (1) - Updated Menu layout for Figure 3.30.30-11, Reviewer's Main Menu - Create Sample Screen. IPU 23U0965 issued 09-20-2023.

(81) IRM 3.30.30.7.1.1 (2) e) - Deleted Change Password information. IPU 23U0965 issued 09-20-2023.

(82) IRM 3.30.30.7.1.1 (2) f) - Deleted Self-Unlock Options information. IPU 23U0965 issued 09-20-2023.

(83) IRM 3.30.30.7.1.4 (1) - Updated Menu layout for Figure 3.30.30-13, Manage Sample Screen. IPU 23U0965 issued 09-20-2023.

(84) IRM 3.30.30.7.1.5 (1) - Updated Menu layout for Figure 3.30.30-14, Review Details Screen. IPU 23U0965 issued 09-20-2023.

(85) IRM 3.30.30.7.1.6 (10) - Instructions and Guidelines for Coding the DCI, Change Figure 3.30.30-15 to Figure 3.30.30-16.

(86) IRM 3.30.30.7.1.7 (1) - Updated Menu layout for Figure 3.30.30-17, Review Summary Screen. IPU 23U0965 issued 09-20-2023.

(87) IRM 3.30.30.7.1.8 (1) - Searching for a Review, Change Figure 3.30.30-17 to Figure 3.30.30-18.

(88) IRM 3.30.30.8.2 - High Quality Work Sampling, Editorial Changes: Updated organizational terms, titles, and acronyms that are relevant to the section.

(89) IRM 3.30.30.9.2 (1) - Updated Figure 3.30.30-21, changed Series/Grade to Grade on the Employee Report. IPU 22U0949 issued 09-14-2022.

(90) IRM 3.30.30.9.2 (3) 5 - Changed Series/Grade to Grade. IPU 22U0949 issued 09-14-2022.

(91) IRM 3.30.30.11 - Issue Resolution Process (IRP), Editorial Changes: Changes made throughout the section to update grammar and Plain Language changes including using simpler words. Updated organizational terms, titles, office symbols, and acronyms that are relevant to the section.

(92) IRM 3.30.30.11.1 EQSP Opportunity Change Request Template (Excel spreadsheet), Editorial Changes: Changes made throughout the section to update grammar and Plain Language changes including using simpler words. Updated organizational terms, titles, and acronyms that are relevant to the section.

(93) IRM 3.30.30.11.1.1 - -Reviewing and Resolving the Opportunity Issue Log, Editorial Changes: Changes made throughout the section to update grammar and Plain Language changes including using simpler words. Updated organizational terms, titles, and acronyms that are relevant to the section.

(94) IRM 3.30.30.11.2 - EQSP Opportunity Change Request Template Used for Non-Opportunity Changes, Section deleted.

(95) Exhibit 3.30.30-7 - Revised form for Accounting Control Services Operation (37), Function: 420 Dishonored Checks. IPU 23U0362 issued 03-09-2023.

(96) Exhibit 3.30.30-10 - Added Single Sign On (SSO) or Username/Password Login Screen. IPU 23U0659 issued 05-25-2023.

(97) Exhibit 3.30.30-10 - Changed Single Sign On (SSO) or Username/Password Login Screen title to Single Sign On Authentication Screen title. IPU 23U0965 issued 09-20-2023.

EFFECT ON OTHER DOCUMENTS

IRM 3.30.30 dated 01-14-2022 is superseded. This IRM also incorporates Interim Guidance IPU 22U0495 issued 04-13-2022, IPU 22U0949 issued 09-14-2022, IPU 23U0362 issued 03-09-2023, IPU 23U0659 issued 05-25-2023, and IPU 23U0965 issued 09-20-2023.

AUDIENCE

All Submission Processing Operations on each campus that perform Embedded Quality for Submission Processing reviews.

James L Fish
Director, Submission Processing
Customer Account Services
Taxpayer Services Division

3.30.30
Embedded Quality for Submission Processing (EQSP) System

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Exhibits

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3.30.30.1
(11-03-2017)
Program Scope and Objective

(1) Purpose: Quality Review program's primary objective is to identify problems and eliminate potential for errors in the Submission Processing System. Quality Review data provides the basis for:

- Measuring and improving program effectiveness
- Identifying defects resulting from individual actions or inactions
- Analyzing the reason(s) for defect occurrence
- Identifying defect trends
- Recommending and initiating corrective action
- Following up with process review and analysis to ensure the corrective action was effective
- Identifying training needs
- Planning workload distribution

(2) Purpose: Individual Performance Review process is designed to collect data from employee work and provide feedback for individual performance evaluations (ratings), ranking for promotions, awards, and release/recall.

(3) Audience: All Submission Processing Operations on each Campus that perform Embedded Quality for Submission Processing.

(4) Policy Owner: The Director of Submission Processing.

(5) Program Owner: Quality Section (an Organization in Submission Processing).

(6) Primary Stakeholders: The primary stakeholders are Site Management and Headquarters to determine site-specific quality level and identify best practices.

(7) Program Goals: The information in the IRM provides a method to monitor, measure and improve the quality of work throughout Submission Processing. The review data is used to identify trends, problem areas, training needs, and opportunities for improvement to each process.

3.30.30.1.1
(11-03-2017)
Background

(1) IRM 3.30.30 provides a method to monitor, measure, and improve the Quality of Work throughout Submission Processing using a web-based system EQSP accessed through the IRS Intranet.

3.30.30.1.2
(11-03-2017)
Responsibilities

(1) The Submission Processing's Quality Section is responsible for the information in the IRM. The Quality-section makes the necessary changes on a yearly basis.

(2) The Director of Submission Processing is responsible for policy related to this IRM.

(3) The team manager is responsible for ensuring the IRM is timely submitted to Publishing each year.

3.30.30.1.3
(07-01-2021)
Program Management and Review

(1) Program Reports: The EQSP reports in this IRM capture specific defect information. The reports provide data to assist with SP work process improvements initiatives. A list of the reports on EQSP are listed below:

a. Single Event Sample Pull
b. Employee
c. Employee (by Team)

d. Team
e. Department
f. Operation
g. Site
h. Defect Summary
i. Site/Program Summary
j. Blank DCI

(2) Program Effectiveness: The Program Effectiveness is determined by measuring and improving program effectiveness for Submission Processing by identifying problems and eliminating the potential for errors.

3.30.30.1.4
(07-01-2021)
Acronyms

(1) The table lists commonly used acronyms and their definitions.

Acronyms	**Definition**
CJE	Critical Job Element
DCI	Data Collection Instrument
EOD	Enter on Duty
EQSP	Embedded Quality Submission Processing
ERS	Error Resolution System
HQF	High Quality Function
HQW	High Quality Work
IPR	Individual Performance Review
IPU	Interim Procedure Update
MEPS	Measured Employee Performance System
OF	Operation Function
OFP	Organization Function Program
OJT	On-the Job Training
RAS	Recommended Annual Sample
SEID	Standard Employee Identifier
SME	Subject Matter Expert

3.30.30.1.5
(09-20-2023)
Related Resources

(1) The EQSP System is accessed through the Microsoft's Edge browser, in the address window type *https://eqsp.enterprise.irs.gov:8443/eqsp/login/login.jsp*.

(2) The Submission Processing Research Portal web page which contains revisions and updates to the IRM procedures is *http://serp.enterprise.irs.gov/databases/portals.dr/portals_toc.htm*.

(3) The website for the Submission Processing manuals is *http://publish.no.irs.gov/pubsys/irm/numind.html*.

3.30.30.2
(08-16-2024)
Embedded Quality for Submission Processing (EQSP) System Overview

(1) The EQSP System provides a method to monitor, measure, and improve the quality of work throughout Submission Processing. Review data is used to identify trends, problem areas, training needs, and opportunities for improvement to each process.

(2) Measured Employee Performance System (MEPS) collects data through the EQSP System; the data is used to measure employees on the quality critical job element (CJE).

(3) EQSP is used by Site Management and Headquarters to determine site-specific quality level and identify potential best practices.

(4) Managers use this System to create and edit profile information for employees they manage. See IRM 3.30.30.6.1.1, Creating an Employee's Profile.

(5) EQSP supports Treasury's goals and Taxpayer Services (TS) strategy by creating an objective and valid system for measuring the quality of products provided to taxpayers and other customers.

(6) Release Recall Listings are created utilizing Release Recall Screens accessed through the EQSP System.

(7) EQSP is a web-based system accessed through the IRS Intranet. The system:

- Creates a Sample (input Quality Review Samples into EQSP).
- Captures data on reviews performed by Quality Reviewers, Managers, and Analysts.
- Gathers data, detailing the opportunities, defects, defect types, and defect descriptions.

Note: An opportunity is the point at which a specific action of an employee's job was either performed or should have been performed. A defect occurs when an opportunity is omitted or performed incorrectly.

- Generates employee and organizational reports from the data collected during the review process.
- Gathers Individual Performance Reviews, High Quality Work Reviews, Learning Curve Reviews, and Team Defects for MEPS.

3.30.30.2.1
(11-03-2017)
IRM Deviation

(1) It is important that all campuses adhere to the policy and procedures set forth in this IRM to ensure EQSP is administrated consistently at all sites.

(2) An IRM deviation request must be submitted in writing following instructions in IRM 1.11.2.2, Internal Management Documents System- Internal Revenue Manual (IRM) Process, IRM Standards, and elevated through the appropriate channels for executive approval.

3.30.30.2.2
(08-16-2024)
Operations and Functions in the EQSP System

(1) Operation 12, Statistics of Income, Functions include:

a. Function 220 - SOI Editing
b. Function 360 - Imaging

(2) Operation 31, Receipt and Control, Functions include:

a. Function 130 - Pre-Batching
b. Function 140 - Extraction
c. Function 140 - Second Sort
d. Function 160 - Remittance Perfection
e. Function 170 - Manual Deposit
f. Function 180 - Batching
g. Function 210 - Code and Edit
h. Function 360 - Imaging
i. Function 440 - Residual Remittance Processing System (RRPS) - Site Specific (Ogden)
j. Function 460 - ICT Validation
k. Function 550 - Document Preparation
l. Function 720 - Receiving, Sorting, and Miscellaneous
m. Function 790 - Tax Accounts Support Activity

(3) Operation 32, ITIN, Functions include:

a. Function 180 - ITIN Batching
b. Function 380 - ITIN Real Time System (RTS)
c. Function 720 - Receiving, Sorting and Miscellaneous
d. Function 790 - Tax Accounts Support Activity

(4) Operation 34, Document Perfection, Functions include:

a. Function 190 - Numbering
b. Function 210 - Code and Edit
c. Function 220 - SOI Editing
d. Function 390 - Entity
e. Function 550 - Pre-Doc Preparation
f. Function 710 - Tax Account Activity-1040X
g. Function 770 - Correspondence
h. Function 780 - Correspondence

(5) Operation 35, Data Conversion, Functions include:

a. Function 230 - Data Conversion (ISRP)
b. Function 440 - Residual Remittance Processing System (RRPS)
c. Function 470 - Service Center Recognition Input System (SCRIPS) DB
d. Function 480 - SCRIPS OE
e. Function 550 - Post-Doc Preparation
f. Function 790 - Tax Accounts Support Activity (RAIVS/IVES)

(6) Operation 36, Input Correction, Functions include:

a. Function 270 - Error Resolution System (ERS)
b. Function 290 - Notice Review (ID Theft)
c. Function 290 - Unpostables
d. Function 310 - Research
e. Function 340 - ERS (Error Correction)
f. Function 350 - Rejects

g. Function 360 - Imaging
h. Function 390 - Entity Control
i. Function 510 - Cycle Control and Servicing
j. Function 520 - Central File Control
k. Function 530 - Pulling Returns and Documents
l. Function 540 - Re-filing Returns and Documents
m. Function 550 - Document Preparation
n. Function 590 - Special Search
o. Function 710 - Notice Review
p. Function 710 - Tax Account Activity
q. Function 770 - Correspondence
r. Function 780 - Correspondence
s. Function 790 - Tax Account Support Activity

(7) Operation 37, Accounting, Functions include:

a. Function 340 - ERS (EFTPS)
b. Function 410 - Accounting Activity
c. Function 420 - Account Services
d. Function 420 - Manual Refunds
e. Function 420 - ANMF
f. Function 420 - Dishonored Checks
g. Function 630 - Balancing
h. Function 710 - Erroneous Refunds
i. Function 710 - Unidentified Remittance
j. Function 710 - Tax Account Activity
k. Function 790 - Tax Account Support Activity

3.30.30.2.3
(12-01-2014)
Quality Review Objectives

(1) Quality Review program's primary objective is to identify problems and eliminate potential for errors in the Submission Processing System. Quality Review data provides the basis for:

- Measuring and improving program effectiveness
- Identifying defects resulting from individual actions or inactions
- Analyzing the reason(s) for defect occurrence
- Identifying defect trends
- Recommending and initiating corrective action
- Following up with process review and analysis to ensure the corrective action was effective
- Identifying training needs
- Planning workload distribution

(2) Individual Performance Review process is designed to collect data from employee work and provide feedback for individual performance evaluations (ratings), ranking for promotions, awards, and release recall.

Note: High Quality Work (HQW) receives product review and is discussed in IRM 3.30.30.8.2.

3.30.30.2.4
(08-16-2024)
Quality Reviewer Training

(1) Annually, employees selected for the quality reviewer role must complete the most recent Integrated Talent Management (ITM) Course 12182, ″Embedded Quality for Submission Processing (EQSP) Reviewer Training″.

(2) The annual training must be completed between January 1 and March 31 **or** prior to the reviewer performing quality reviews.

(3) The quality manager (or designee) will conduct an Embedded Quality for Submission Processing (EQSP) Reviewer Training session annually for all quality reviewers (including quality lead) on their assigned team to complete ITM course 12182. The quality manager (or designee) will submit a listing of the attendees to the Centralized Delivery Services (CDS) for employees' recordation in the ITM system.

3.30.30.2.5
(08-16-2024)
Quality Reviewer Requirements

(1) Quality Reviewers are required to complete individual review and record review results in the EQSP System.

(2) Quality Reviewers should:

a. Have a good working knowledge of the work in the particular area that is being reviewed.
b. Receive training for individual review procedures.
c. Sit with an experienced reviewer and observe how the reviewer performs the duties associated with the Quality Reviewer Role.
d. Review employees' work.
e. Have a good working knowledge of the EQSP system.
f. Identify defects.
g. Prepare the necessary forms pertaining to the review process.
h. Ask the manager/lead questions about the work process.
i. Have basic personal computer knowledge.

(3) The quality reviewer should completely review the designated sample of an employee's work to determine how well they have followed IRM procedures and guidelines.

a. Reviews must be accurate, valid, and consistent.
b. Reviewers must record all defects found.
c. Reviewers must establish a climate of integrity, efficiency, and fairness.
d. Reviewers must ensure all defects identified are supported by an IRM reference and included in the "IRM Reference" text box located on the Quality Reviews Detail Screen when the review results are recorded in EQSP. The IRM reference appears with the "Defect Details" on the "Individual Employee Report (Single Event Sample Pull)".

Note: IRM references are not required for obvious "finger errors", for routine required edits such as "Name Control" and

"Tax Period," or for any Data Conversion Operation obvious transcription defect.

3.30.30.2.6
(09-20-2023)
Research Tools

(1) A number of IRMs impact the work done by employees in the Submission Processing Centers. Refer to IRM Numerical Index Part Three. Visit *http://publish.no.irs.gov/pubsys/irm/numind.html*), for a list of Submission Processing manuals.

(2) The Servicewide Electronic Research Program (SERP) - Submission Processing (SP) Portal web page, which contains revisions and updates to the IRM procedures is located at: *http://serp.enterprise.irs.gov/content/portals/portals.html*.

(3) Reviewers use various IDRS command codes to review cases. Refer to IRM Numerical Index Part Two. Visit the Website *http://publish.no.irs.gov/pubsys/irm/numind.html* IRM 2.3, Terminal Responses, and IRM 2.4, Terminal Input, for a complete list and instructions of all IDRS command codes.

(4) Local procedures are deviations from the IRM. Only local procedures approved by Headquarters Program Management can be considered when evaluating quality.

Note: An IRM may include statements indicating "follow local procedures" or may state a specific guide should be followed. These are valid IRM references (approved by Headquarters Program Management) and employees are subject to defects if the local procedures are not followed.

Reminder: If the procedure is not in an IRM or issued as an Interim IRM Update (IPU), an error cannot be charged.

3.30.30.2.7
(08-16-2024)
Quality Review Types

(1) The Quality Review Results are entered into the EQSP System as the following Review Types:

a. Individual Performance Review (measured employee performance review; may only be input for employee profiles assigned to a measured performance plan with a review date within the measured quality plan date range).

Note: The EQSP system recognizes any Operation Function (OF) that is considered HQW.

b. Product Feedback Review (Does not require an employee SEID).
c. Team Defect Review (Defect(s) removed from an employee and charged to the team and/or when multiple identical defects are present).
d. Managerial/OJT Review (requires an employee SEID).

(2) Individual Performance reviews are samples of an employee's completed work for measured sample plans including High Quality Work (HQW).

Note: The SEID is required.

(3) Product reviews are used when work sampled for feedback does not need to be associated to an individual. The results are provided to groups of employees, managers, and management officials for analysis, trending, and process improvements.

Note: The SEID is NOT required.

(4) Team Defect review type is used to record defective documents identified in an employee's completed sampled work when charging defects to a team. Team Defects include Multiple Identical Defects and procedural or systemic defects removed from the employee and charged to the Team. Team Defects do not count towards an employee's measured performance rating.

Note: The SEID is required.

(5) Defects are considered multiple identicals when a quality reviewer identifies the same error on every document that the opportunity for error in available on within the sample. Multiple identical defects are entered into EQSP as follows:

- One defect is entered as Individual Performance Review for the employee.
- The remaining like defect(s) is entered as a Team Defect Review(s) for the team.
- All defects must be entered as Individual Performance Review for the employee if at least one document within the sample with the same opportunity for error is worked correctly.
- Any additional defect(s) identified within the sample that is not considered a multiple identical is entered as Individual Performance Review for the employee.

Note: If a Team Defect (multiple identical, procedural, or systemic) and a defect other than the Team Defect are identified on the same document, the document remains part of the employees' sample and review results are entered as Individual Performance Review rather than Team Defect. The document is considered one defective document with two defects.

(6) Procedural or Systemic defects are removed from the employee and charged to the team when defects are attributed to training program deficiencies, incurred due to procedural changes not shared with the employee, or a result of systemic deficiencies rather than a result of employee actions or inactions.

In these cases:

- The Individual Performance Review is deleted from the employee's sample and entered as a Team Defect review.
- The employee neither receives credit for the document as part of the sample nor credit for a document reviewed.

Note: Multiple Identical Defects and Procedural or Systemic Defects are never charged as a Team Defect if the employee is on Learning Curve (EQSP System prevents entering a Team Defect if the employee's Learning Curve Requirements are not met).

(7) Managerial/OJT reviews are used to assess an employee job performance, identify training needs, determine job readiness, and monitor employee's procedural skill. These samples are typically 100 percent reviewed during an initial training or when additional coaching is required (samples are reviewed after the work has been subject to Individual Performance Review).

Note: The SEID is required.

3.30.30.2.8
(12-01-2014)
Time Reporting

(1) See IRM 3.30.20, OFP Code List, for appropriate Work Planning & Control (WP&C) Organization, Function, and Program (OFP) time reporting codes.

Note: The OFP code 880-0000X is no longer a valid OFP for EQSP in Submission Processing.

(2) See the table below for a list of valid OFP codes for EQSP.

Organization	Function	Program	Description
23000	990	08030	Improvement Specialist - For use by employees officially acting in this position
Valid for all Organizations	990	59250	Training
Valid for all Organizations	990	59300	Briefing/Meetings
Valid for all Organizations	880	08030	Measured Review- Individual Performance Review/ Team Defect Review- Time spent performing the review and entering measured review in the EQSP system.
Valid for all Organizations	880	08031	Unmeasured Review- Time spent performing the review and entering review for any unmeasured areas/ functions in the EQSP system.
Valid for all Organizations	880	08032	Measured Review - Managerial/OJT and Product Feedback Review - Time spent performing these reviews and entering reviews in the EQSP system.
Valid for all Organizations	880	08033	Clerical Duties- Time spent on all clerical duties related to EQSP, such as selecting samples, filing, and any other clerical activities.

3.30.30.3
(08-16-2024)
Roles

(1) There are several specific roles in the EQSP system. The roles are listed below:

(2) Management Assistant:

a. Create and edit employee profile information within their span of control.
b. Add, search and view employee profiles within their site and Operation.
c. Move and assign employees to correct Team, Department and/or Organization.

(3) Quality Reviewer (QR):

a. Effectively use IRM 3.30.30, Embedded Quality for Submission Processing System, and all relevant IRMs to perform an unbiased, consistent, accurate review of all work.
b. Protect the documents that are being reviewed.

Note: All documents and information must remain secure and confidential to protect the privacy and confidentiality of taxpayer data.

c. Create Samples (input Quality Review Samples) using the EQSP system.

d. Identify and code defective opportunities appropriate for a particular work product.
e. Identify changes needed to the Data Collection Instruments (DCIs).Provide recommendations for corrections/ improvements for IRM 3.30.30, Embedded Quality for Submission Processing System, and EQSP Training Material.
f. Generate and print Single Event Sample Pull Reports for reviews performed. Identify and report all problems to the Quality Review (QR) Manager.

(4) Quality Review (QR) Lead:

a. Create an employee review sample for all review types for any employee within their assigned Site and Operation and for any Quality reviewer within their assigned Site, ODT (exception of their own SEID).
b. Create a Product feedback review for any Operation, Department, Team and Function/Program within their assigned Site and Operation.
c. Search/View any DCI within their assigned Site and Operation they created by any Quality Reviewer within their assigned Site and Operation.
d. Edit high quality Individual Performance (the delete and edit time frame is 15 days).
e. Delete high quality work, Individual Performance, Team Defect, and Managerial /OJT DCI they created or created by a Quality Reviewer within their assigned Site.
f. Delete Learning Curve (LC) Review Types they created or LC reviews created on the same day the DCI was created.
g. Delete Product feedback DCI they created or created by a Quality Reviewer in their assigned Site.
h. View and print Quality Reports (Core Reports) Single Event sample Pull Report for sample pull Id created by any Quality Reviewer in assigned site.

(5) Quality Review (QR) Manager:

a. Review access permissions regularly for users within span of control.
b. In sites that do not have a QR Manager, the Team Manager is responsible for this role.
c. Maintain the integrity and quality of the EQSP system by monitoring and reviewing work performed by a Quality Reviewer.
d. Effectively use IRM 3.30.30, Embedded Quality for Submission Processing System, and all relevant IRMs to ensure an unbiased, consistent, accurate review of all work.
e. Protect the documents being reviewed.

Note: All documents and information (including taxpayer information) must remain secure and confidential to protect the privacy and confidentiality of taxpayer contacts.

f. Ensure the QR Team receives complete training in the quality review process and related systems used in reviewing.
g. Monitor the sampling techniques to meet internal guidelines.
h. Ensure all work is sampled and reviewed within prescribed guidelines.
i. Identify opportunities for a particular work product.
j. Identify and elevate EQSP issues to the Site Improvement Specialist.

k. Provide timely feedback and relevant EQSP information to all managers in the operation or function.
l. Enter adjustments to quality review results.

Note: The Quality Lead has "Permission" to assist.

m. Create and maintain accurate profiles for assigned employees.

(6) Team Manager:

a. Review access permissions regularly for users within span of control.
b. Ensure all completed work is available for sampling.
c. Create and maintain accurate profiles for assigned employees.
d. Use individual and team reports to identify error trends and take corrective actions.
e. Timely share Single Event Sample Pull Reports.
f. Identify and elevate EQSP issues to the Site Improvement Specialist.
g. Communicate QR and relevant EQSP information to all team members.
h. Input adjustments to erroneously reported employee performance data (hours and/or volume) through the EQSP IPR Adjustment Screen.

(7) Team Lead:

a. Ensure all completed work is available for sampling.
b. Use individual and team reports to identify error trends and take corrective actions.
c. Timely share Single Event Sample Pull Reports.
d. Identify and elevate EQSP issues to the Site Improvement Specialist.
e. Communicate QR and relevant EQSP information to all team members.

(8) Department Manager:

a. Confirm completion of reviews for access permissions regularly for users within span of control.
b. Identify and elevate EQSP issues to the Site Improvement Specialist.
c. Assist in creating and maintaining accurate employee profiles.
d. Communicate QR and relevant EQSP information to all team members.
e. Initiate improvement activities.
f. Create a Release Recall.
g. Request a Release Recall final listing.

(9) Operation Manager:

a. Confirm completion of reviews for access permissions regularly for users within span of control.
b. Ensure error trends are shared with the P&A/Improvement Team.
c. Ensure operations comply with EQSP procedures and guidelines.
d. Coordinate improvement activities with the Site Improvement Specialists.
e. Initiate improvement activities.
f. Request Release Recall final listing.

(10) Site Director:

a. Monitor all EQSP site activities.
b. Provide support for national improvement strategies.

(11) Site Administrator (Improvement Specialist):

a. Troubleshoot, problem solve, and elevate system issues to the System Administrator.
b. Coordinate with site Operations to identify Subject Matter Experts (SMEs) to work with HQ for support (e.g., roll out of new functions/programs).
c. Implement "EQSP Issue Resolution Process."
d. Identify and resolve calibration issues within Operations.
e. Provide input to HQ regarding defect calibration issues.
f. Ensure defect identification guidance is communicated to all affected reviewers.
g. Monitor profile maintenance issues at site and resolve issues as necessary.
h. Monitor and maintain EQSP profiles utilizing the EQSP User Access Listing (UAL)
i. Report system issues (e.g., system outage, slow response, missing DCIs or opportunities) to HQ.
j. Provide training assistance to Operations.
k. Use MEPS and EQSP data to monitor accuracy.
l. Use EQSP data to identify defect trends.
m. Monitor Quality Review Sampling to ensure compliance with sampling plan.
n. Partner with stakeholders to address identified improvement opportunities within functions.

(12) Site Assistant (Functional Coordinator or EQSP Business Entitlement Access Request System (BEARS) Site approver):

a. Approve BEARS request and establish or modify profiles using the EQSP System.
b. Monitor and maintain EQSP profiles utilizing the EQSP User Access Listing (UAL).

(13) Planning and Analysis (P&A) Analyst:

a. Communicate findings and recommendations to management on local and national issues.
b. Work in conjunction with the Site Improvement Specialists regarding improvement activities.

(14) Headquarters Manager / Analyst:

a. Create and validate DCIs for new functions/programs.
b. Review all applicable IRM changes for impact on the EQSP system.
c. Implement "EQSP Issue Resolution Process".
d. Alert field to calibration issues regarding defect coding.
e. Provide guidance to facilitate defect calibration.
f. Obtain field input to maintain the EQSP IRM and training materials.
g. Use EQSP data to monitor document accuracy by function on a weekly basis.
h. Use EQSP data to identify specific defects.
i. Monitor EQSP sampling.
j. Prepare National Quality reports.
k. Through analysis and drill-down, identify improvement opportunities within assigned functions – both within a site and across sites.
l. Partner with stakeholders to address improvement opportunities.
m. Communicate system updates, changes, and revisions to Management and Improvement Specialists.

n. Maintain the EQSP system.
o. Provide program and procedural guidance.
p. Coordinate program development/realignment activities.
q. Provide support and guidance to Site Improvement Specialists.

(15) Ops MEPS Administrator:

a. Create Product Feedback DCIs for employees at their site.
b. View, edit, and delete Product Feedback DCIs created at their site at any time
c. View employee profile information for their site.
d. Complete employee time/volume IPR adjustments for employees.
e. View Quality Base Points
f. View, add and revise Efficiency Base Points
g. View Employee Learning curve status and search for Learning Curve status and search for Learning Curve requirements (sample pulls and documents per sample) for the Site.
h. Request Release/Recall Final listing for the Site.
i. View EQSP Core/MEPS reports as listed in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities.

(16) Release/Recall (Only):

a. View Information pertaining to the Release/Recall for the Operation/Site in which they are assigned.
b. Add or Modify information for the Release/Recall for their assigned Site.

(17) See Exhibit 3.30.30-9.

3.30.30.4
(08-16-2024)
System Requirements

(1) Access to the EQSP Database System requires a personal computer with at least:

a. A Pentium-based processor with a minimum of 32 megabytes of system memory
b. Windows 2000/NT or greater operating system
c. Microsoft Edge, version 99 or higher
d. Connection to the IRS Intranet

(2) Users need to know their Standard Employee Identifier (SEID).

(3) Users need to submit a BEARS request to gain access to the EQSP System. To get access, use the BEARS application. Visit Website *https://bears.iam.int.for.irs.gov/home/Index*. Follow the on-line instructions to complete the application request. EQSP applications are:

- EQSP- TS HQ
- EQSP- Austin
- EQSP- Kansas City
- EQSP- Ogden

Note: All requests should be made to your applicable EQSP Site application with the exception of Site Administrator, Site Assistant, Release Recall Only, and Headquarters Personnel. These roles need to be requested through the EQSP TS HQ application.

(4) Enter the information listed below in the Special Instructions-section of the BEARS request:

a. The Site
b. The five digit Organization Code
c. The EQSP's Role requested for the employee. Options include: Site Director, Operations Manager, Department Manager, Quality Manager, Team Manager, Quality Reviewer, Site Administrator, Management Assistant, Site Assistant, and P&A Analyst.
d. The Roles for EQSP - TS include: Site Admin, Site Assistant, and Release Recall only

(5) Once the manager approves the employee's BEARS request, it will be routed automatically to the EQSP Site Administrator who will verify the requestors information.

(6) When the BEARS request process is complete, an E-mail will be received from BEARS asking for a acceptance signature.

(7) Users who have not logged into EQSP for 60 days will automatically have their account locked. If users attempt to login to EQSP after a 60 day period of inactivity, they will receive an account locked message on the EQSP Login screen.

(8) Users who have not logged into EQSP at least once every 90 days will automatically have their account deactivated. If users attempt to login EQSP after a 90 day period of inactivity, they will receive a message on the EQSP Login screen that says, "Your account has been removed from BEARS. Please submit a BEARS Add request to regain access to the EQSP Application."

(9) Submit a BEARS request to modify profile if users roles or Organization change.

(10) Submit a BEARS delete request when access to EQSP is no longer required. If the employee is going to remain in the SP organization, special instructions should address a role change to an "employee" role.

3.30.30.4.1
(08-16-2024)
Accessing the EQSP System

(1) The first step to accessing the EQSP System is to open the Edge browser, and in the address window type: *https://eqsp.enterprise.irs.gov:8443/eqsp/login/login.jsp*.Then click the "Enter" key on the keyboard. Then the User may login by clicking on the **User Login** Single Sign On Authentication button, see: Exhibit 3.30.30-10.

- ***Note:*** Users cannot login if their account is locked, terminated, or has been inactive for more than 90 days.

- ***Reminder:*** After connecting to this site, save the address to Favorites or create a shortcut on your desktop.

(2) The system role is determined by job function. Your specific profile determines which actions you are allowed to perform in EQSP. See Exhibit 3.30.30.9, Roles and Permissions - Responsibilities, and IRM 3.30.30.5, System Profile (Permissions).

(3) Listed below are some navigational shortcuts:

a. **Left mouse button:** Use to select the fields you want to enter.
b. **Tab key:** Use this key to move forward from one field to the next.
c. **Shift Tab key:** To use this key combination, you must hold down both keys to move backward to previous fields.
d. **Page Up:** Use this key to scroll up in the DCI.
e. **Page Down:** Use this key to scroll down in the DCI.
f. **Hyperlinks:** Use links to move from page to page within a DCI or to go to another screen to perform various actions, i.e., coding repeated opportunities, generating reports, searching for profiles or reviews, etc. Links appear in blue underlined text or numbers.

Note: Look for these links when dealing with Repeated Line Opportunities.

(4) If you have problems accessing or using EQSP, contact your Site Improvement Specialist.

3.30.30.5
(08-16-2024)
System Profiles (Permissions)

(1) System Profiles define the level of access a user is allowed, and the activities granted by that access.

Example: Managers can create (DCIs) for their employees, and view reports for their team, department, operation and site. Quality Reviewers can create DCIs, view and edit DCIs they created, and view the Single Event Individual Employee Report.

(2) For specific System Profiles, refer to the table below.

Role	System Profile (Permissions)
Management Assistant	a. Search/view employee profiles within their site. b. Create/edit employee profiles with span of control. c. Change a manager profile to an employee profile. d. Move employees to the correct Organization, Department and/or Team.
Quality Reviewer	a. Create a DCI within assigned Site and Operation. b. View a DCI they created within their Site and Operation. c. Edit and delete DCIs they created within five business days from the start of the review. **Exception: Learning Curve** ***Note:*** Contact the EQSP Site Administrator to delete older reviews. d. View the Single Event Sample Pull Report for a review they created.
Quality Review Lead	a. Create an Employee review sample product for all review types. b. Search/View any DCI within their assigned Site c. Search/View any DCI within their assigned Site and Operation. d. Delete high Quality, Individual Performance team defect and Managerial/OJT DCI. e. View and Print Quality Reports (Core Reports) Single Event Sample Pull Reports. f. View/Print/Export to Excel Learning Curve sample report, and sampling report within Site/Operation.

Role	System Profile (Permissions)
Quality Review Manager	a. Create and edit the profile information of EQSP Employee roles within their span of control. b. Edit profile information of EQSP Quality Reviewer roles within their span of control. c. Create a DCI within assigned Site and Operation. d. View, add or modify information pertaining to the Release/Recall for the Team in which they are assigned. e. View any DCI they created at any time. f. View any DCI created by a Quality Reviewer, who they manage, at any time. g. View any DCI created by a Quality Reviewer for an employee they manage. h. Edit any DCI they created within 14 calendar days. Except LC = five calendar days of the completion of that review. i. Edit any DCI created by a Quality Reviewer or for an employee, who they manage, within 14 calendar days of the completion of that review. j. Delete Product Reviews. k. Delete any DCI they created within 14 calendar days of the completion of that review. l. Delete any DCI created by a Reviewer or for an employee, they manage, within 14 calendar days from the start of that review. ***Note:*** Contact the EQSP Site Administrator to delete older reviews. m. Request an Ad-hoc Individual Performance Report (IPR) for employees they manage. n. View CORE/MEPS reports and listings systemically generated and sent to Control-D as indicated in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities. o. Search and view Quality Base Points for employees in their site. p. Search and view Efficiency Base Points for employees in their site. q. Search or view learning curve information for the employee and programs in which the employees work by program or SEID. r. Create and view the Single Event Individual Employee and Cumulative Individual Performance reports on reviews created by a Quality Reviewer they manage. s. Manage Sample Screen. t. View Team, Department, Operations, and Director's Reports.

Role	System Profile (Permissions)
Team Manager	a. Create and view Individual Performance, Product, and Managerial/OJT reviews for employees they manage. b. View any reviews performed by a Quality Reviewer they manage. c. Edit and delete for 14 calendar days of the completion of that review. ***Note:*** Contact the EQSP Site Administrator to delete older reviews. d. View EQSP Core/MEPS Reports as listed in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities. e. Complete employee time/volume IPR adjustments for employees they manage. f. View, add or modify information pertaining to the Release/Recall for the Team in which they are assigned. g. Search and view Quality Base Points for employees in their site. h. Search and view Efficiency Base Points for employees in their site. i. View Employee Learning Curve status and search for Learning Curve requirements (sample pulls and documents per sample) for the Operation and Function.
Department Managers	a. Create DCIs for Managerial/OJT or Product Feedback review on an employee within their span of control. b. View any DCI created for employees within their span of control. c. Edit Managerial/OJT and Product Feedback DCIs they created within 14 calendar days. d. Delete DCIs they created for Managerial/OJT, and Product Feedback review within five business days of the completion of that review without considering holidays and weekends. ***Note:*** Contact the EQSP Site Administrator to delete older reviews. e. Create employee profile and edit the profile information of any employee within their span of control. f. View EQSP Core/MEPS Reports as listed in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities. g. Complete employee time/volume IPR adjustments for employees they manage. h. Search and view Quality Base Points for employees in their site. i. Search and view Efficiency Base Points for employees in their site. j. View, add or modify information pertaining to the Release/Recall for the Department in which they are assigned. k. View Employee Learning Curve status and search for Learning Curve requirements (sample pulls and documents per sample) for the Operation and Function.

Role	System Profile (Permissions)
Operation Manager and Site Director	a. View any DCI created for employees within their span of control. b. Create employee profile and edit the profile information of any employee within their span of control. c. View EQSP Core Reports as listed in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities. d. Complete employee time/volume IPR adjustments for employees they manage. e. View, add, or modify information pertaining to the Release/Recall for the Operation/Site in which they are assigned. f. Request Release/Recall Final Listing for the Operation in which they are assigned (Operation Manager only). g. View Employee Learning Curve status and search for Learning Curve requirements (sample pulls and documents per sample) for the Operation and Function. h. View EQSP Core/MEPS Reports as listed in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities. i. View, add, and revise Efficiency Base Points within their span of control. j. Search and view Quality Base Points for employees in their site. k. Search and view Efficiency Base Points for employees in their site.(Operation Managers can add and revise Efficiency Base Points for their Operation). l. Create Release Recall.
Planning and Analysis	a. Create DCIs for Product Feedback review. b. View Product Feedback review DCIs they created. ***Note:*** Contact the EQSP Site Administrator to delete older reviews. c. View EQSP Core Reports as listed in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities. d. **Planning & Analyst Staff Manager only:** Create and edit the profile information of an employee that they manage, including assigning permission to that employee.
Headquarters' Manager/Analyst	a. View EQSP Core Reports as listed in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities. b. Search and view Efficiency Base Points for employees in their site.
Site Assistant	Add, view, modify, delete, and lock profile information for employees in their site.
Release/Recall Only	View, add or modify information pertaining to the Release/Recall for the Operation/Site in which they are assigned.
Site EQSP Administrators	a. Create DCIs for Individual Performance, Product, Team Defect, Managerial/OJT reviews for employees at their site. b. View, edit, and delete DCIs they created or created by employees at their site at any time. c. Add, modify, and lock employee profile information for their site. d. Create and edit the profile information for any employee at their site. e. View EQSP Core/MEPS Reports as listed in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities.

Role	System Profile (Permissions)
Ops MEPS Administrator	a. Create Product Feedback DCIs for employees at their site. b. View, edit, and delete Product Feedback DCIs created at their site at any time. c. View employee profile information for their site. d. Complete employee time/volume IPR adjustments for employees they manage. e. View Quality Base Points. f. View, add and revise Efficiency Base Points. g. View Employee Learning Curve status and search for Learning Curve requirements (sample pulls and documents per sample) for the Site. h. View Learning curve sample and Sample report. i. Request Release/Recall Final Listing for the Site. j. View EQSP Core/MEPS Reports as listed in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities.
System Administrator/MEPS Coordinator	a. Create DCIs for Individual Performance, Product, Team Defect, Managerial/OJT reviews for employees at all sites. b. View, edit, and delete DCIs created at any site at any time. c. Add, modify and lock employee profile information at all sites, including headquarters. d. Unlock an employee's account at all sites including headquarters, if they fail to login after three attempts. e. Reset an employee's access at all sites including headquarters. f. Create and edit the profile information for any employee at all sites including headquarters. g. View EQSP Core/MEPS Reports as listed in Exhibit 3.30.30-9, Roles and Permissions - Responsibilities. h. Complete employee time/volume IPR adjustments as requested. i. View, add, and revise Quality Base Points. j. View, add and revise Efficiency Base Points. k. View Employee Learning Curve status and search for Learning Curve requirements (sample pulls and documents per sample) for all sites. l. Request Release/Recall Final Listing for any site. m. Add, modify, and delete EQSP DCIs (including End of Year form changes).

3.30.30.6
(12-01-2014)
Employee Profile Management

(1) It is necessary to create a profile for an employee before reviews are input into EQSP.

Note: Review all the information for each employee, data cannot be entered if the information for an employee is missing or incorrect.

(2) To ensure the information for the employee is correct, managers and/or site administrators should:

a. Input information under the correct SEID.

Note: If an error exists in the SEID field, Administrators can correct the SEID. Do not create a second profile for the employee or review data may be lost. Continue to use the existing profile and request an SEID correction through your local Site Improvement Specialist. All reviews will transfer to the correct SEID profile once updated.

b. Validate employee's Operation, Department, Team, Function, and Program information.
c. Correct any information that needs to be corrected.

(3) Contact your Site Improvement Specialist if you need assistance.

3.30.30.6.1
(09-20-2023)
Manager Main Menu Screen

(1) To access the Manager Main Menu Screen (**Figure 3.30.30-1**), login to the EQSP System. For instructions see IRM 3.30.30.4.1, Accessing the EQSP System.

(2) The Manager Main Menu Screen contains a menu option for managers to enter and edit employee's information, e.g., SEID, Work Status Code, Operation, Department. This information is the Employee's Profile.

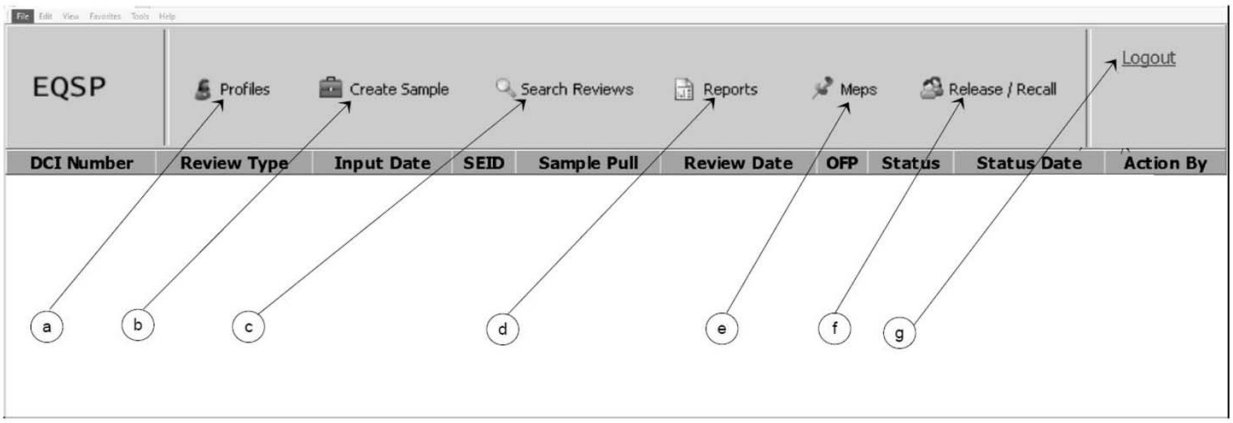

Figure 3.30.30-1 Manager Main Menu Screen

(3) The Manager's action buttons and hyperlinks are listed below:

a. **Profiles hyperlink**
b. **Create Sample hyperlink**
c. **Search Reviews hyperlink**
d. **Reports hyperlink**
e. **MEPS hyperlink**
f. **Release/Recall hyperlink**
g. **Logout**

3.30.30.6.1.1
(09-20-2023)
Creating an Employee's Profile

(1) Managers will enter their employee's profile information on the create new Profile Screen.
See **Figure 3.30.30-2.**

Then:

Figure 3.30.30-2 Add Employee Profile Screen

(2) To generate the Add Employee Profile Screen, select the Create new profile hyperlink on the Manager's Main Menu Screen. The Add Employee Profile Screen has several fields and action buttons in which the manager has to either enter or select information.

Note: During the Add Employee Profile Screen

(3) To enter employee information:

a. Enter the employee's **SEID.** The SEID will default to all CAPS. The **Username** will populate with the employee's SEID.

Note: Once entered and saved, the SEID cannot be edited. If an employee is profiled with an incorrect SEID the SEID field can be updated by a Site Administrator and all data associated with the incorrect SEID moves to the correct SEID. However, if the employee is profiled to an incorrect SEID, and a correct SEID, and reviews have been completed on the incorrect SEID the profiles cannot be merged.

b. Enter the employee's **First Name, Middle Initial, and Last Name.**

Note: The system will display a warning message if the first and last name of the user they are creating is already in the data base. "**That name already exists with SEID XXXXX.**" This will prevent

creating more than one profile for an employee. The manager will have the option to continue to create the profile or return to the profile screen. If multiple users are returned with the same name, the manager will have the capability to review the names that are the same before they save the user.

c. Enter the employee's or manager's **Phone Number.**
d. In the **Class Code** field, click the down arrow and select either Permanent, Seasonal, Temp Intermediate (Career), Temp Intermediate (Non-Career), or Term.

Note: The field will update from the EMF.

e. The Profile screen displays a Quality Performance Plan field with a Quality Plan Date field, and an Efficiency Performance Plan field.

Note: The Quality performance plan defaults to "**Measured**" for Employee and Quality Reviewer Roles.

Note: The Efficiency Performance Plan defaults to "**Measured**" for Employee Role and Unmeasured for Quality Reviewer Role. Once the profile has been created and saved, the Quality and Efficiency Performance Plans may only be modified by accessing the Manage Employee Performance Plans screen by clicking the Manage Plans hyperlink on the Edit Employee Profile screen.

Reminder: Managers create profiles for employees only. All other roles, including Quality Reviewers, require a BEARS request to gain access. Site Administrators create profiles when BEARS requests are approved.

f. The day counter increases seven calendar days for every Form 3081 submitted. If the date is changed and the 63 day requirement has not been met, the day counter recalculates.

Note: If a profile existed for any employee prior to: October/2011, the Performance Plan dates defaulted to: 10/01/2011.

g. Employees cannot receive evaluations until they have been on their CJEs for at least 60 calendar days in their annual rating period. If measured is selected for the Quality and/or Efficiency Performance Plan, the counter increases seven days for each Form 3081 submitted until the 60 days are reached and resets at the beginning of the employee's rating period.
h. It is critical that managers ensure the Performance Plan is updated and Unmeasured is selected if an employee is placed on an Unmeasured Performance Plan. Plan Dates must also be changed to coincide with the date the employee became unmeasured. Likewise, Plans and Plan Dates must be changed when an employee returns to a Measured Performance Plan. See IRM 3.43.405 for additional information.
i. In the **Work Status Code** field, click the down arrow and select the employee's Work Status Code.
j. Enter the employee's **Grade and Step.**
k. Enter the employee's **Assigned Organization code (EMF updates this field).**
l. Enter the employee's **EOD** (Enter on Duty) date.
m. Enter the employee's **SCD** (Service Computation Date).
n. The **Site** field defaults to your site.

o. In the **Organization: Operation, Department, and Team** fields, click the down arrows and select the appropriate information.

Note: Span of control is determined by the Organization fields selected.

(4) There are three action buttons located at the bottom of this screen:

a. Save
b. Save and Add Programs
c. Cancel

(5) If you want to save the information entered on the Add User Profile Screen before adding the Employee's assigned programs, select the "**Save**" button.

a. If information is missing or entered incorrectly an error message will generate.
b. If all the information is correct, a screen will generate which states, "**The user was saved.**"
c. Select the "**Continue**" button to return to the Manager's Main Menu Screen. Select the "**Back to Profile**" button and the Edit Employee Profile Screen will generate (see IRM 3.30.30.6.1.2, Searching for an Employee's Profile).

(6) To enter the Employee's assigned programs, select the "**Manage Programs**" button and the Manage Employee Programs Screen will generate. See **Figure 3.30.30-3.**

Note: Quality Review cannot be entered into EQSP for the employee's SEID until the program is added on the employee Program Status Screen. Efficiency Learning Curve does not begin until the applicable OFP (fourth digit) is added on the Employee Program Status Screen. (See IRM 3.43.405)

Manage Employee Programs

Add Programs | Remove Old Programs | Back to Profile | Back to Search Results | Refresh Page

SEID: 66661 Name: POST, LAMP

Status	Operation	Function	Program	Add Date	LC Met Date
Active	34 (Document Perfection)	210 (Code and Edit)	11200 (941)	09/27/2016	
Active	34 (Document Perfection)	210 (Code and Edit)	11500 (1120)	09/27/2016	
Active	34 (Document Perfection)	210 (Code and Edit)	43110 (1040)	09/27/2016	
Active	34 (Document Perfection)	210 (Code and Edit)	44110 (1040A)	09/27/2016	

Figure 3.30.30-3 Add Employee Profile Screen

Follow the instructions below:

a. Select Employee.
b. Select the **Function**.
c. A list of all valid programs will generate in the program box, **Check** all programs the employee works that needs to be added.

Note: All programs checked on the **Add Employee Programs** appear as **Active** in OFP order with the date the OFP was added and active, the OFP will be available for Quality Review input on the employees "Review Header Screen".

d. When finished, select the "**Save**" button. "The user's program(s) were saved" confirmation screen will generate.
e. Select the **Cancel** button to disregard unsaved changes and to return to the Manage Employee Programs.

(7) If an added program is no longer worked by the employee, the status the arrow provides an inactive option. If Inactive is selected, the program will not be available for quality review input.

(8) The "**LC Date Met**" displays after the reviews entered for the OFP meets the Learning Curve sampling requirements which is determined by the Quality level of the OFP.

3.30.30.6.1.2
(09-20-2023)
Searching for an Employee's Profile

(1) Managers are responsible for ensuring their employees' profile information is correct. To validate this information, managers will use the "Search for Profile" hyperlink to search for the employee's profile.

Note: If an employee is detailed or selected for a manager position, the Performance Plan must be changed to unmeasured and the Plan Date entered as the date an employee became a Manager prior to the BEARS approval. The Performance Plan fields are grayed and cannot be changed after the Site Administrator changes the Employee Role to a Manager Role.

Reminder: Managers can only search and update profiles of their subordinates.

(2) Select the "Search for Profile" hyperlink (located on the Manager's Main Menu Screen). The Search for Employee Profile Screen will generate. See **Figure 3.30.30-4.**

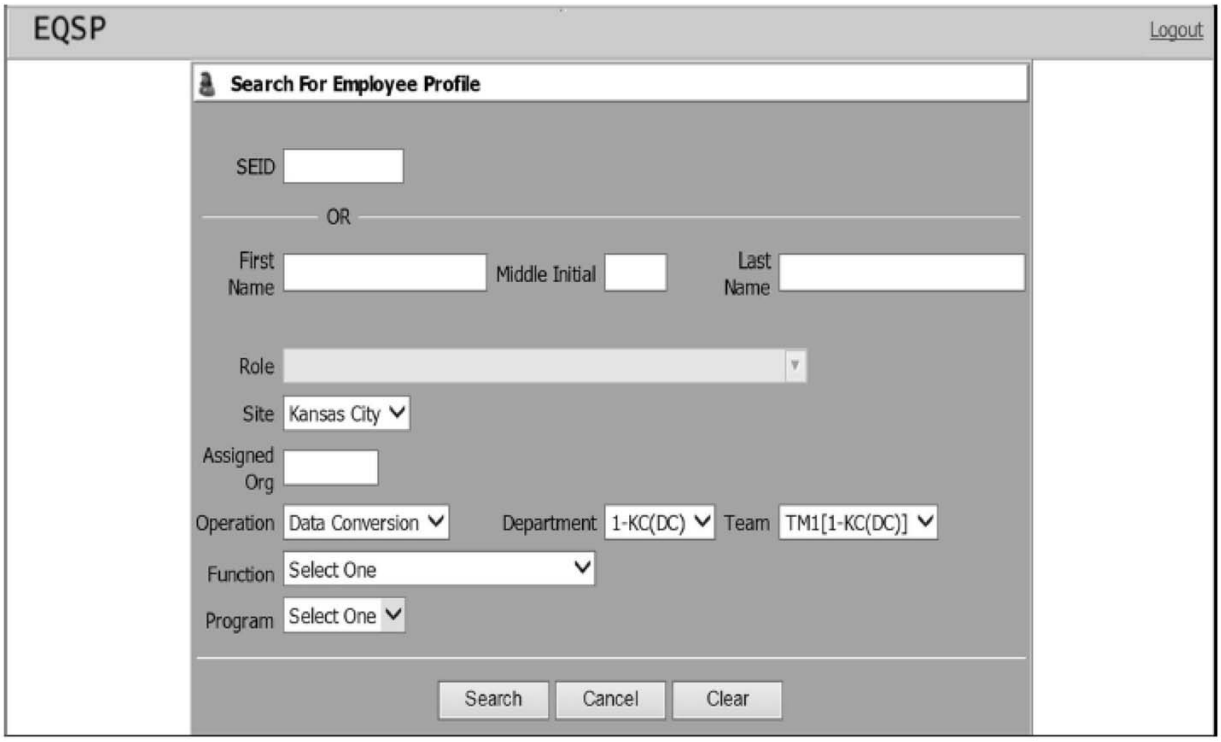

Figure 3.30.30-4 Search for Employee Profile Screen

(3) The searchable parameters are listed in the table below:

Searchable Parameters	
Subject	**Parameter**
SEID (the employee's)	If you enter the employee's SEID, you do not have to enter any other information.
Employee's First Name, Middle Initial, and Last Name	If you enter the employee's first or last name, you do not have to enter any other information.
Role	Select one (or more) roles to generate a list of all employees by role(s) within the Operation, Department, Team (based on the user's permissible span of control).
Site	Select the Site only to generate a list of all site employees and their Operation, Department and Team. ***Note:*** Site, Operation, Department and Team will default based on the user's role and span of control.

Searchable Parameters	
Subject	**Parameter**
Assigned Organization; Operation, Department, and Team	• Select the Site and Assigned Organization to generate a list of your employees in that organization. • Select the Site and Operation to generate a list of your employees in that operation. • Select the Site, Operation, and Department to generate a list of your employees in that department. • Select the Site, Operation, Department, and Team to generate a list of your employees in that team.
Function	Select the Site, Operation and Function to get a list of your employees in that function.
Program	Select the Site, Operation, Function and Program to get a list of your employees assigned to that program.

Note: Multiple search parameters selected will provide a more defined search result. If any information is missing or incorrect, an error message will generate.

(4) After entering your search criteria, select the “Search” button. The search result **“Profile Search Results”** will display on the Manager’s Main Menu Screen. Each row shows Employee’s Name, Employee’s SEID, Role, Operation, Department, and Team.

Note: Search results are systemically retained and refreshed, if a user accesses a profile and then returns to the Manager’s Main Menu Screen.

Note: Additional fields will be displayed based on selected search criteria (i.e., Function and Program). See **Figure 3.30.30-5**.

EQSP | Profiles | Create Sample | Search Reviews | Reports | Meps | Release / Recall | Logout

Create new profile | Search for profile | Back to Reviews | User Access Listing | Manage Proxy | Use Proxy

Profile Search Results Export to Excel

Name	SEID	Role	Org	Operation	Department	Team
EMPLOYEE DCO-TEST	DC2PL	Employee	35100	Data Conversion	1-KC(DC)	TM1[1-KC(DC)]
JACKSON WILLIAM A	DCDC4	Employee	35101	Data Conversion	1-KC(DC)	TM1[1-KC(DC)]

Figure 3.30.30-5 Manager's Main Menu Screen (Search Results)

a. Select "Employee's Name" to generate the Edit Employee Profile Screen to edit the employee's information. See **Figure 3.30.30-6.**

Edit Employee Profile

Current User Status: **Locked - no access**

Employee Information

Role: Employee
SEID: DC2PL
Username: DC2PL
First Name: DCO-TEST
Middle Initial:
Last Name: EMPLOYEE
Phone Number: - -
Grade: 04
Step: 01
Class Code: Permanent
Work Status Code: Working
EOD (mmddyy): 01/01/2021
SCD (mmddyy): 01/01/2021

Performance Plan

Quality Plan: Measured
Quality Plan Date: 01/17/2021
Efficiency Plan: Measured
Efficiency Plan Date: 01/17/2021

Organization

Site: Kansas City
Assigned Org: 35101
Operation: Data Conversion
Department: 1-KC(DC)
Team: TM1[1-KC(DC)]

Save | Manage Programs | Manage Plans | Manage Acct Status | Sync CADS | Cancel

Figure 3.30.30-6 Edit Employee Profile Screen

(5) The action buttons on the Edit Employee Profile screen will vary based on EQSP Role assignment. The action buttons on the Edit Employee Profile screen are listed below:

a. **Save**
b. **Manage Programs**
c. **Manage Plans**
d. **Manage Acct Status**
e. **Sync CADS**
f. **Cancel**

3.30.30.6.1.3
(04-13-2022)
Generating and Reviewing User Access Listing

(1) Managers must regularly review security controls for information systems. Managers must review access and permissions for EQSP at least monthly. User Access List provides an automated mechanism to facilitate the review of user access and permissions.

(2) Select User Access Listing link located on Manager's Main Menu Screen to generate User Access Listing for all users within manager span of control.

(3) Review each user account to ensure only authorized users have access to the system. Lock accounts for users no longer authorized to access the EQSP system.

Note: Initiate BEARS requests to delete user access. Coordinate with Site Administrators to delete/terminate EQSP profiles for users not expected to return to position requiring EQSP access.

(4) Review active user roles to ensure users have the minimum level of access needed to perform official duties. (Refer to IRM 3.30.30.5, Systems Profiles, for permissions associated with EQSP roles.) Change assigned role, as needed.

(5) Request audit records for user activities from EQSP System Administrator when review of User Access Listing or information from another report or source indicates improper use of system or unauthorized access.

3.30.30.6.2
(08-16-2024)
Proxy Role

(1) The Proxy Role allows a managerial role to be granted to another user (the grantee) for a specified length of time.

Note: Proxies are limited to "**active' profiles**".

(2) The ability to grant or receive a proxy is limited to:

a. Team Manager
b. Quality Review Manager
c. Operation Manager
d. Department Manager

(3) Once assigned, proxies give the grantee the same permissions and level of access to the system as if the role was the grantee's home assignment (original role).

(4) After logging into EQSP, this functionality also allows the grantee to either select a proxy or return to their assigned role.

(5) The grantee's home assignment must be in the same organizational structure as the proxy grantor.

Note: The EQSP system creates an audit trail for the proxy grantor, proxy grantee, the date the proxy was granted, and the date proxy was terminated.

3.30.30.6.2.1
(12-01-2014)
Proxy Role Hierarchy

(1) The Proxy Role Hierarchy for the Team, Quality Review, Operation and Department Managers are listed in the table below.

Role	Proxy Role Hierarchy
Team Manager	Can access the Manage Proxy and the Use Proxy Screens. Can grant: 1. A proxy to Team Managers within their assigned Site, Operation, and Department. 2. The proxy role of a Team Manager for their assigned teams within their Site, Operation, and Department.
Quality Review Manager	Can access the Manage Proxy and the Use Proxy Screens. Can grant: 1. A proxy to Quality Review Managers within their assigned Site, Operation, and Department. 2. The proxy role of a Quality Review Manager for their assigned teams within their Site, Operation, and Department that have a Quality Review Manager.
Department Manager	Can access the Manage Proxy Screen. Can grant: 1. A proxy to Department Manager within their assigned Site and Operation; and Team Managers, within their assigned Site, Operation, and Department. 2. The proxy role of a Department Manager for their assigned departments within their Site, and Operation; and Team Manager for all teams within their assigned Site, Operation, and Department.
Operation Manager	Can access the Manage Proxy and Use Proxy Screens. Can grant: 1. A proxy to Department, Team, and Quality Review Managers, within their assigned Site and Operation. 2. The proxy role of an Operation Manager for their assigned Site and Operation; Department Manager for all departments within their assigned Site and Operation; Team Manager for all teams within their assigned Site and Operation; and Quality Review Manager for all teams within their assigned Site and Operation that have a Quality Review Manager.

3.30.30.6.2.2
(12-01-2014)
Time Limitations for a Proxy Role

(1) A grantee will be granted a proxy role for a maximum of 90 calendar days.

(2) The beginning date of a proxy role must be equal to or greater than the current date.

(3) The ending date of a proxy role must not exceed 90 calendar days from the current date.

(4) Proxies automatically terminate at the end of 90 calendar days or on the ending date specified by the grantor.

Note: A warning message displays to the grantee when a proxy will expire within seven calendar days.

(5) Proxy dates must be in MM/DD/YYYY format.

3.30.30.6.2.3
(09-14-2022)
Manage Proxy Screen

(1) Managers will use the Manage Proxy Screen to either grant or terminate a proxy role.

(2) The manager will not be able to duplicate proxy assignments (same grantee, role, operation, department, and team).

(3) To access the Manage Proxy screen:

a. From the Manager's Main Menu screen select the "Manage Proxy" hyperlink.
b. The Manage Proxy Screen will generate. See **Figure 3.30.30-7.**

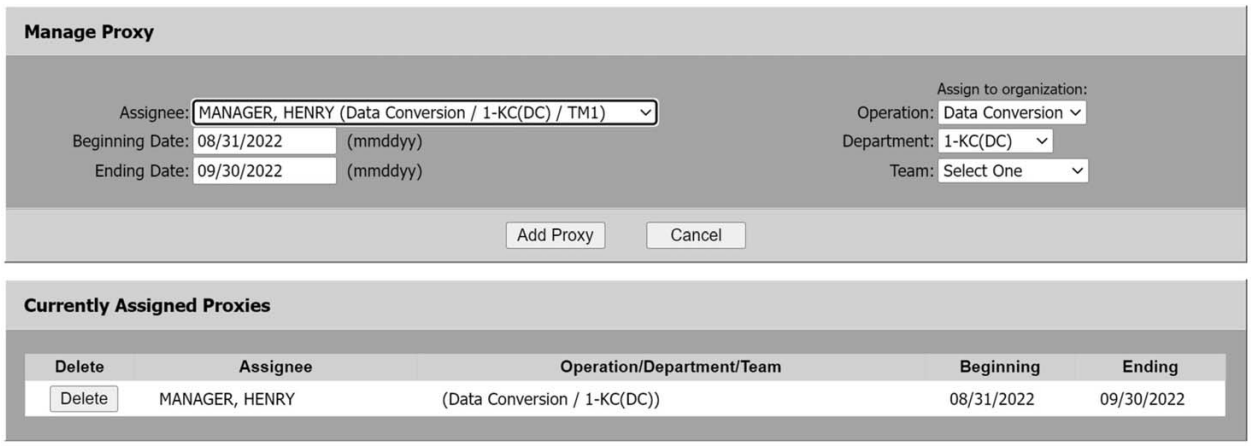

Figure 3.30.30-7 Manage Proxy Screen

(4) The Manage Proxy Screen displays the following:

a. **Assignee**: A list of names from which the grantor may select an individual to grant a proxy.
b. **Beginning date (mmddyy)**: The date the proxy begins.
c. **Ending date (mmddyy)**: The date the proxy ends.
d. **Assign to organization – Operation, Department, and Team**: lists the current managers' span of control.
e. **Add Proxy** button: Select to add the proxy information.
f. **Cancel** button: Select to remove entered fields and return to Manager's home page.
g. **Currently Assigned Proxies**: A list of active proxy roles (displayed alphabetically by the grantee's last name), with applicable Operation, Department, Team and Beginning and Ending dates. This list may be resorted by selecting the column headers.

3.30.30.6.2.3.1
(12-01-2014)
Granting a Proxy

(1) To grant a proxy, from the Manager Proxy Screen:

a. Select a grantee from the Assignee drop down menu.
b. Enter the Beginning date (mmddyy).
c. Enter the Ending date (mmddyy).
d. Select the Operation, Department, and Team.
e. Select the "Add Proxy" button. Either a Confirm Assignment Screen or Confirmation Message Screen will generate.
f. The Confirm Assignment Screen will state, "Are you sure you want to grant the following proxy?" The grantee's name and proxy information will also be listed.
g. Select either the "Yes" button to accept the proxy assignment or the "No" button to cancel your selections and return to the Manage Proxy Screen.
h. If you select "Yes," a confirmation message will generate stating, "The following user proxy was granted." The grantee's name and proxy information will also be listed.
i. Select either the "Continue" button to return to the Manager's Main Menu Screen or the "Back to Manage Proxy" button to return to the Manage Proxy Screen to grant another proxy.
j. If the grantee is assigned a proxy role for a team that already has a Quality Manager, the "Confirmation Message Screen" will generate, stating, "This team has quality review employees. Do you want to assign the proxy for a Quality Manager?"
k. Select either the "Yes" button to assign the proxy of a Quality Manager to the team or the "No" button to assign the proxy of a Team Manager to the team.

Note: This is necessary because some teams have both a Quality Manager and a Team Manager.

3.30.30.6.2.3.2
(09-14-2022)
Terminating a Proxy

(1) Only the grantor of a proxy may manually terminate the proxy

(2) To terminate a proxy role, from the Manage Proxy Screen:

a. Select the Delete button, located to the left of the grantee's name. A Confirm Termination Screen generates asking, "Are you sure you want to terminate the following proxy?" The grantee's name and proxy information is listed.
b. Select either the "Yes" button to accept the terminate proxy role or the "No" button to cancel and return to the Manage Proxy Screen.

3.30.30.6.2.4
(12-01-2014)
Using a Proxy Role Overview

(1) A grantee may have more than one proxy at a time.

(2) Grantees may only use one role at a time, either the proxy or their assigned role.

(3) The grantee selects the proxy role through the "Use Proxy" hyperlink.

(4) The grantee returns to their assigned role through the "Use Proxy" hyperlink.

(5) After logging into EQSP, the system checks for any proxies that expire within seven calendar days.

a. A “Warning Message” generates stating, “One or more current proxy roles will expire within seven days.”
b. Select the “OK” button to continue.

3.30.30.6.2.4.1
(09-14-2022)
Use Proxy Screen

(1) Accessing the Use Proxy Screen:

a. From the Main Menu Screen, select the “Profile” button, select the “Use Proxy” hyperlink.
b. The Use Proxy Screen will generate. See **Figure 3.30.30-8.**

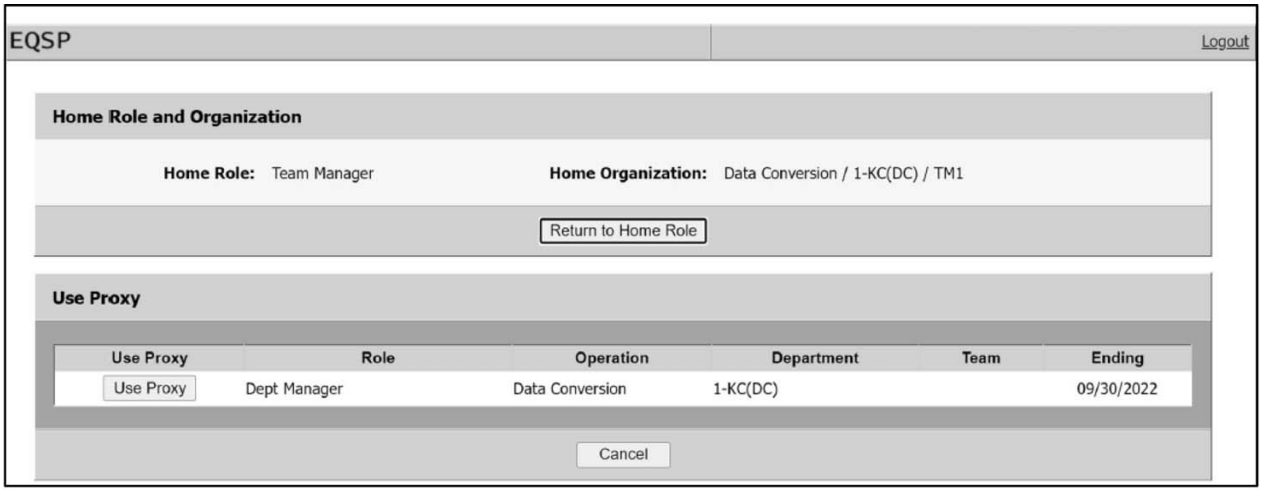

Figure 3.30.30-8 Use Proxy Screen

(2) The Use Proxy screen displays the following:

a. **Home Role and Organization-section**: List Home Role and Home Organization (Operation, Department, and Team).
b. **Return to Home Role** button
c. **Use Proxy-section**: Use Proxy, Role (displayed alphabetically by last name), Operation, Department, Team, and Ending Date. The **Use Proxy** button is used to select a proxy.

Note: The grantee’s assigned role will determine whether a Department or Team will display.

d. **Cancel** button: Select to return to the Manager’s Main Menu Screen.

3.30.30.6.2.4.2
(09-20-2023)
Selecting a Proxy Role

(1) Select “Use Proxy” from the Manager’s home page.

(2) To select the proxy role from the “Use Proxy Screen”:

a. Under Use Proxy, select the **Use Proxy** button. The “Confirm Proxy Change Screen” generates stating, “Are you sure you want to change to the following proxy?” The proxy information will also be listed.
b. Select “Yes” button to accept the change or the “No” button to cancel your selections and return to the Use Proxy Screen.
c. If “Yes” is selected, a Proxy Change acknowledgment screen generates stating, “Proxy has been changed.” Select the “OK” button. The Main Menu Screen generates.

d. The Main Menu Screen displays the grantee's assigned proxy role. See **Figure 3.30.30-9.** The Operation, Department, and Team will appear as necessary.

Example: If the grantee is using an Operation Manager's role, only the Operation will display.

e. Grantees will remain in this proxy role until either logging out of EQSP or going back to their assigned role.

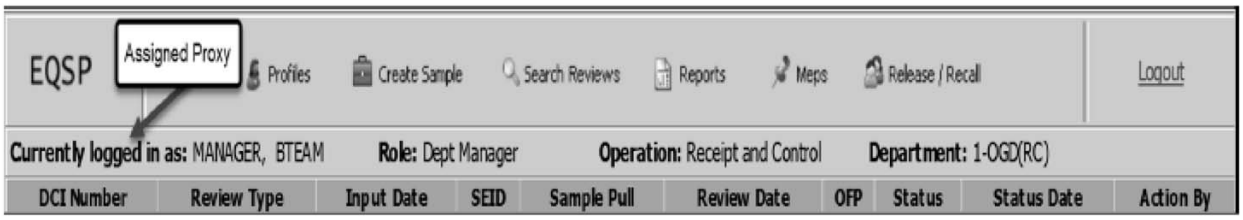

Figure 3.30.30-9 Main Menu Screen Displaying the Assigned Proxy

3.30.30.6.2.4.3
(09-14-2022)
Returning to the Assigned Role

(1) Assigned Role is accessed from the "Use Proxy" screen.

(2) To return to the assigned role:

a. Select the **Return to Home Role** button, under the Home Role and Organization-section (See Figure 3.30.30-8). A "Confirm Proxy Change" message generates asking, "Are you sure you want to change to your home role ?"
b. Select "Yes" to accept the change and generate an acknowledgment message indicating "Proxy has been changed". Select the "OK" to acknowledgment the Manager's Main Menu screen.
c. Select "NO", to cancel the selection and return to the, "Use Proxy "screen.

3.30.30.7
(04-13-2010)
Data Collection Instrument (DCI) Overview

(1) Each function within Submission Processing has a Data Collection Instrument (DCI) which is unique to the work performed by the employees in that area.

(2) Each review will be assigned a unique DCI number. The number will consist of the year the review was created followed by a system-generated number.

(3) Opportunities on the DCI's are listed in the order they appear on the form or non-form document. The Key Elements of the DCI, which are located on the Review Detail Screen are:

a. **Section:** identifies opportunities that are grouped together to form a work process.
b. **Location:** clarifies where this opportunity might be found on the form or in relation to the work process.
c. **Opportunity** is the point at which a specific action of an employee's job was either performed or should have been performed.
d. **Defect Types** are used to describe an inappropriate action for the work under review. The defect types are "Incorrect" and "Omitted."

e. **Defect Description** explains the characteristics of a defect type. A defect description is required whenever a defect type is identified during a review.

3.30.30.7.1
(09-20-2023)
Reviewer's Main Menu Screen

(1) There are several menu options shown on the Reviewer's Main Menu Screen. See **Figure 3.30.30-10.**

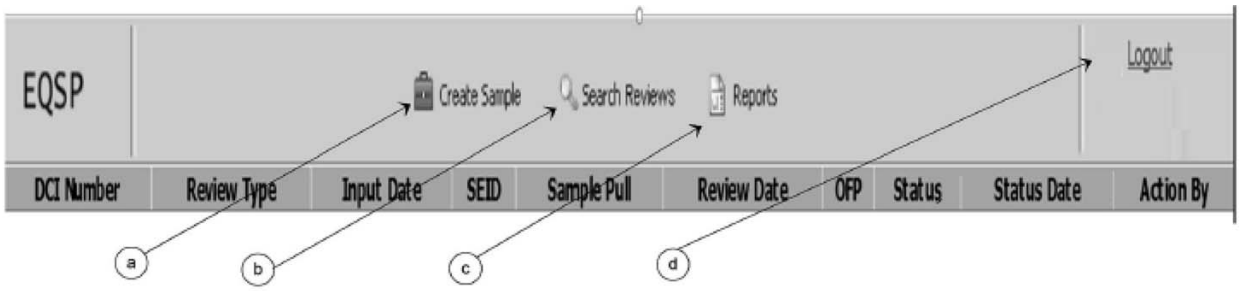

Figure 3.30.30-10 Reviewer's Main Menu Screen

(2) The menu options are listed below.

a. **Create Sample:** Select to begin the review.
b. **Search Reviews:**
c. **Reports:** Select to generate the Reports Screen.
d. **Logout:** Select to logout of the EQSP.

3.30.30.7.1.1
(09-20-2023)
Create Sample

(1) There are several menu options shown on the Reviewer's Main Menu - Create Sample Screen. See **Figure 3.30.30-11.**

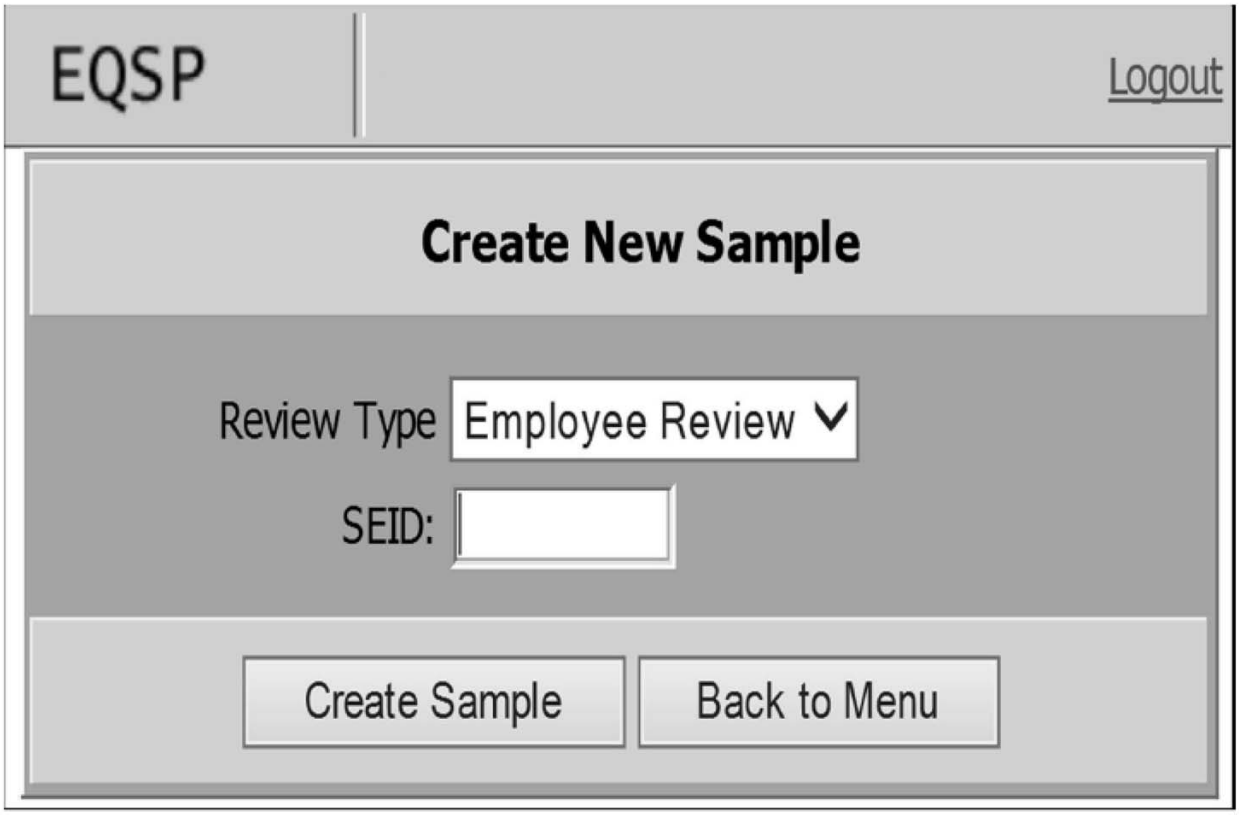

Figure 3.30.30-11 Reviewer's Main Menu - Create Sample Screen

(2) The menu options are listed below.

a. **Review Type:** Select Employee Review (Review with SEID) or Product Review (No SEID).
b. **SEID:** Enter the SEID (the SEID will default to all CAPS) of the employee you are reviewing.
c. **Create Sample:** Select to begin the review.
d. **Back to Menu**
e. **Logout:** Select to logout of the EQSP.

3.30.30.7.1.2
(01-01-2016)
Search Reviews

(1) The **Search** hyperlink allows Quality Reviewers to view and edit DCIs they created within their Site and Operation.

(2) The results returned will depend on the parameters entered in the "Provide Search Criteria" screen.

(3) The screen displays a list of reviews. This list shows the DCI number, Review Type, Input Date, SEID, Sample Pull, Review Date, OFP, and Status, Status Date, and Action By.

Note: A review reflecting an "In Progress" status should be completed or deleted.

Note: Search parameters are saved and systemically performed each time the user returns to the "Review Search Results" screen after creating, editing or

deleting a review and/or running a report, therefore the more current data within the “Search” parameters is always displayed.

3.30.30.7.1.3
(11-03-2017)
Review Header Screen

(1) To create a review, select the “Review Type,” enter the employee’s SEID and then select “Create Sample.” The “Review Header” screen will generate.

(2) The Review Header screen will only show fields applicable to the Operation, Function, and Program of the employee being reviewed. See **Figure 3.30.30-12.**

Figure 3.30.30-12 Review Header Screen

(3) The system will automatically generate information such as the DCI number, Input Date, Reviewer SEID, and Review Date.

Note: The Input Date and the Review Date will default to the current date.

(4) The system will automatically enter slashes when a reviewer is entering a date into a date field. The system will convert a two digit year ending entry into a four digit year entry.

Caution: If a four digit number is entered for the year (e.g., 2012), the system will pick up the first two digits and convert it to a four digit year. So if you enter “2012”, the system will generate “2020” as the year (picking up the first two digits you entered).

(5) Drop down menus are Character Key sensitive. This allows you to select an entry by entering the first character from a drop down menu instead of manually scrolling through the entire menu to locate it.

Example: Program 44110, can be accessed by first displaying the drop down menu and entering the number “4”. The drop down selection list will go to the first program that begins with a “4”.

(6) The **Organization** Field contains fields for Operation, Department, and Team. These fields reflect the assigned organization of the employee being reviewed. They will default to the employee’s assigned organization.

Exception: If an employee has moved to another Operation, Department, or Team, the reviewer must select the correct Organization.

Note: The reviewer can use the default information to identify the current assigned organization. If the information is not correct, contact the employee’s manager.

(7) The **Review Date** field is computer-generated. The date the review was performed starts the systemic date counting. After completing a review, reviewers have five business days, from this date, to modify/delete the review.

Note: The review date should be edited when EQSP input is not performed the same day as the review was completed.

(8) The **Function** field contains codes available for the type of work being reviewed. This field will default to the employee’s assigned function.

Exception: If the employee is assigned to more than one function, the reviewer must select the correct function.

Note: Inform management if the function is incorrect.

(9) The **Program** field contains codes available for the type of work being reviewed. This field will default to the employee’s assigned program.

Exception: If the employee is assigned to more than one program, the reviewer must select the correct program.

Note: Inform management if the program is unavailable for selection.

(10) The **Category** field allows the type of return to be captured. Only one Category can be associated with each review.

(11) **Review Type** field contains codes available for the type of review being performed. Select Individual Performance Review, Product Feedback Review, Team Defect Review, Managerial/OJT Review. See IRM 3.30.30.2.7. Quality Review Types.

(12) The **Number of DCIs** box is used to enter the number of documents within a sample pull.

(13) Select the “Next” button located in the upper right corner.

3.30.30.7.1.4
(09-20-2023)
Manage Sample Screen

(1) The EQSP Manage Sample screen allows you to manage all of the parameters associated with a sample. See Figure 3.30.30-13.

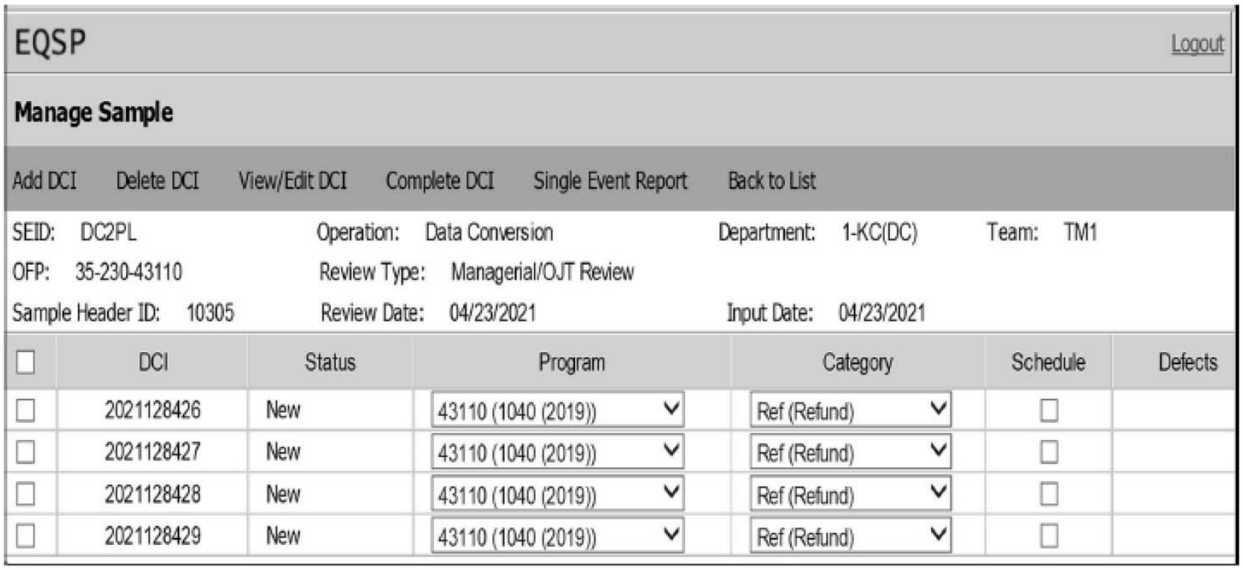

Figure 3.30.30-13 Manage Sample Screen

Note: The Manage Sample Screen now displays Review Input Date, Operation, Department and Team in which the review was created for (this may not be the assigned Operation, Department, and Team displayed in the Employee Profile Information). This figure will be updated with the next IRM update.

(2) The top of the screen includes action button:

a. **ADD DCI** allows the user to add a new DCI to the sample.
b. **View/Edit DCI** allows the user to open the Quality Review Details for a selected DCI.
c. **Complete DCI** allows the user to mark a DCI as correct, updates the MEPS performance record.
d. **Single Event Report** generates the Single Event Sample Pull Report for the selected sample. The Single Event Report will only generate if all DCIs in the sample are in Complete, Modified, or Deleted status.

Note: The quality review team manager must ensure each Single Event Individual Employee Report is printed and provided to the team manager for every quality review input to the employee’s SEID. The team manager must provide the employee with a copy of the report. This notification serves as a record of all quality reviews completed for each employee as well as a record of any defect(s) identified.

e. **Back to List** navigates back to the Main Menu.
f. **Delete DCI** allows the Quality Manager and Quality Lead to edit or delete Individual Performance, HQW, and Team Defect for 14 calendar days after the Review completion Date, Quality Lead can edit or Delete for 14

calendar days, Quality Reviewers can Edit or Delete for five calendar days from the completion date. This button will not appear for learning curve samples.

Note: LC available for Quality Managers for five calendar days and for the Lead and Reviewer on the day it was created.

(3) The Sample Header Information include the following:

1. Employee SEID
2. OFP Code
3. Review Date
4. Sample Header ID Number
5. Review Type (if the review type is Learning Curve Review, the required documents per sample is also displayed).
6. DCI Number
7. Status
8. Program (and Form Type)
9. Category
10. Schedule Selection Box
11. Defects (the count associated with each DCI in the Sample).

(4) Below the action button row, is the sample header information including:

a. The employee SEID
b. The applicable OFP Code for the sample.
c. The review date for the Sample.
d. The sample header ID number.
e. The review type for the sample.
f. If the review type is Learning Curve Review, the required documents per sample is also displayed.

(5) The bottom half of the screen displays columns for the DCI number, Status, program (and form type), Category, schedule selection check box, and Defect count associated with each DCI in the Sample.

(6) The DCI Selection check box column on the left side of the screen allows the user to select/deselect all DCI's or each DCI individually. If there are no defects in the sample, the user may select all the DCI by checking the DCI selection column, and simply press the **Complete DCI** button at the top of the screen. This changes the status for each selected DCI to Complete, and displays **0** for each DCI in the Defects column. If defects are present in one or more of the DCIs in the Sample, check the box next to the DCI, or if the DCI is for a different form or category, use the drop down menu to select the "Select a different program (form) and or category".

(7) Review the document and select the check box for schedules and/or Forms that are included in the sample and have a defect to be coded.

(8) To code the review click the **View/Edit** button or click the DCI number.

(9) If there are no defects in a sample, you may select all of the DCI by checking the DCI selection column check box, and simply press the **Complete DCI** button at the top of the screen. This changes the status for each DCI to "Complete" and displays "**0**" for each DCI in the defects column.

(10) If the user checks the “Schedules” check box on the Manage Sample screen, the system will be directed to the **Select the Schedules to Review** screen.

(11) Check the box next to the schedule(s) the user is adding to this DCI, and enter the number of the schedule needed.

(12) The Quantity Entry box defaults to “**1**”. This number can be changes to accommodate multiples schedules and/or forms. DCIs may have multiple schedules that may be selected, and in some cases multiples of the same schedule can be attached.

Example: If there are two Schedule C, enter **“2”** in the entry box.

(13) Select the count for the schedule(s), then click **Next**. This will generate the Review Detail screen. If schedules are not added to the DCI, the screen will be bypassed.

3.30.30.7.1.5
(09-20-2023)
Review Details Screen

(1) The Review Details Screen is used to code the defect(s) for the reviewed document. See **Figure 3.30.30-14.**

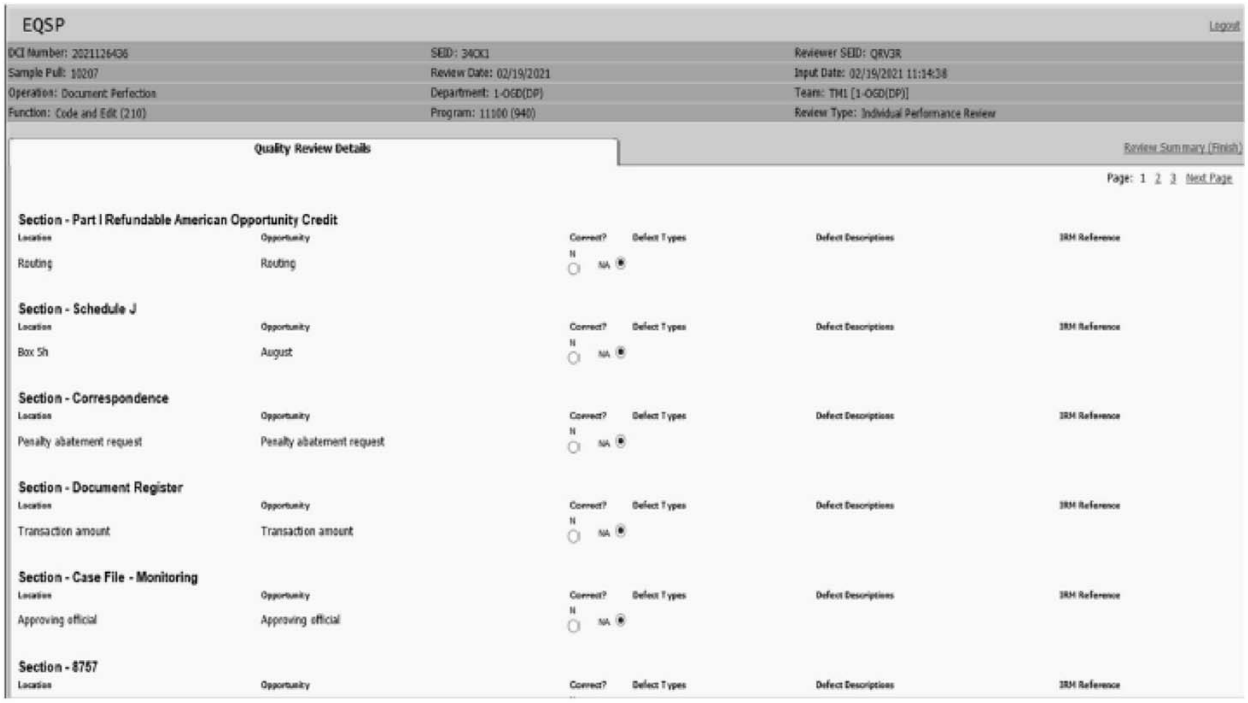

Figure 3.30.30-14 Review Details Screen

(2) The **Review Header portion** of this screen contains the following:

a. DCI Number
b. SEID of the employee being reviewed
c. Reviewer SEID
d. Sample Pull ID
e. Review Date
f. Input Date
g. Operation
h. Department

i. Team
j. Function
k. Program
l. Finish hyperlink

Note: The Header information systemically populates from information input to the Review Header screen.

(3) The **Review Detail portion** of this screen contains a list of opportunities that apply to the document being reviewed.

a. **Schedules Tab:** select to review the requested schedules and/or forms.

Note: The Schedules Tab will only appear if a schedule selection was requested.

b. **Page Hyperlinks:** select to navigate through available pages of the DCI.
c. **Section:** identifies opportunities that are grouped together to form a work process.
d. **Location:** clarifies where this opportunity might be found on the form or in relation to the work process.
e. **Opportunity** is the point at which a specific action of an employee's job was either performed or should have been performed.
f. The "Correct?" column lists two radio buttons: **N** (No); and **NA** (Not applicable).

Note: The radio button defaults to **NA** value for all opportunities. Change the default value to **N** to code defective opportunities identified during the review

g. **Defect Type** is only selectable when "Correct?" was coded with an **N** value. There are two Defect Types: **Incorrect** indicates an incorrect action was taken. **Omitted** indicates a required action was not taken
h. **Defect Description** further defines how the opportunity was defective.

Example: Entry, Keying, or Edit.

(4) When all defective opportunities have been coded, select the **Finish** hyperlink. The Review Summary Screen will generate. See IRM 3.30.30.7.1.7 the Review Summary Screen.

3.30.30.7.1.6
(08-16-2024)
Instructions and Guidelines for Coding the DCI

(1) The methods used for coding the DCI are similar in all functions. The opportunities were established based on the actions taken by employees, according to the applicable IRM procedures, to complete their duties.

(2) Locate the opportunity the employee performed incorrectly or omitted.

(3) Select the "N" radio button for all defective opportunities identified on a review. The drop down menu for "Defect Type" will generate. An error message indicating "Please select defect type" appears if a defect type is not selected. Select "OK" and select a defect type to clear the error message.

Note: It is important to identify the point where the first error occurred, i.e., "point of error". Do not code "ripple" defects. Consider the order of operation when determining the "point of error" and potential "ripple" defect(s). Ripple defects are defined as a defect(s) made as a result another defect. If an original

"point of error" defect did not lead to additional defect(s) - meaning additional defect(s) can also be determined as a "point of error". the additional defects should be charged "point of error." Do not code "ripple" errors.

Example: If an entry should have been made on Line 12, but the entry was transcribed to line 13, the defect changed would be an **"Omitted Entry"** for "Line 12" and the defect of an **"Incorrect Entry"** for "Line 13" would be considered a "ripple" defect and not charged. The same would be true if the incorrect transcription to "Line 13" resulted in line item entries (values) after "Line 13" to be incorrect.

(4) Select the appropriate defect type: "Omitted" or "Incorrect." The drop down menu for "Defect Description" will generate.

(5) Select the appropriate description for the defective opportunity. An error message indicating "Please select description" appears if a defect description is not selected. Select "OK" and select a defect description to clear the error message.

Example: Functions requiring transcription use **Keying** and **Entry** Defect Descriptions. **"Incorrect Keying"** defect(s) are defined as entries where numbers and/or letters are transposed or partially entered but incomplete.
Example one: Line 13 on a form should have an entry of 598 (five hundred and ninety-eight), but is keyed as 589 (five hundred and eighty-nine).
Example two: The name field on a form should have an entry of John Smith, but is keyed as Jon Smit.
"Incorrect Entry" defect(s) are defined as entries where the value of the entry was placed on the incorrect line.
Example three: The entry on Line 12 on a form should have been entered on Line 13.
"Omitted Entry" defect(s) are defined as a required entry line being left blank.
Example four: Line 12 on a form should have an entry of 2,651.00 (two thousand, six hundred and fifty-one), but nothing is entered.

(6) All defect descriptions default to **N/A.**

(7) If a defective document has only one defect on the DCI and the defect was charged incorrectly, change the **N** to a **N/A**.

Note: Delete the DCI if the defect is removed from the employee and charged to the Team.

(8) A "Location" with Repeated Opportunities is identified in blue with an underlined hyperlink. **See Figure 3.30.30-15.** This functionality allows you to code opportunities that occur multiples times.

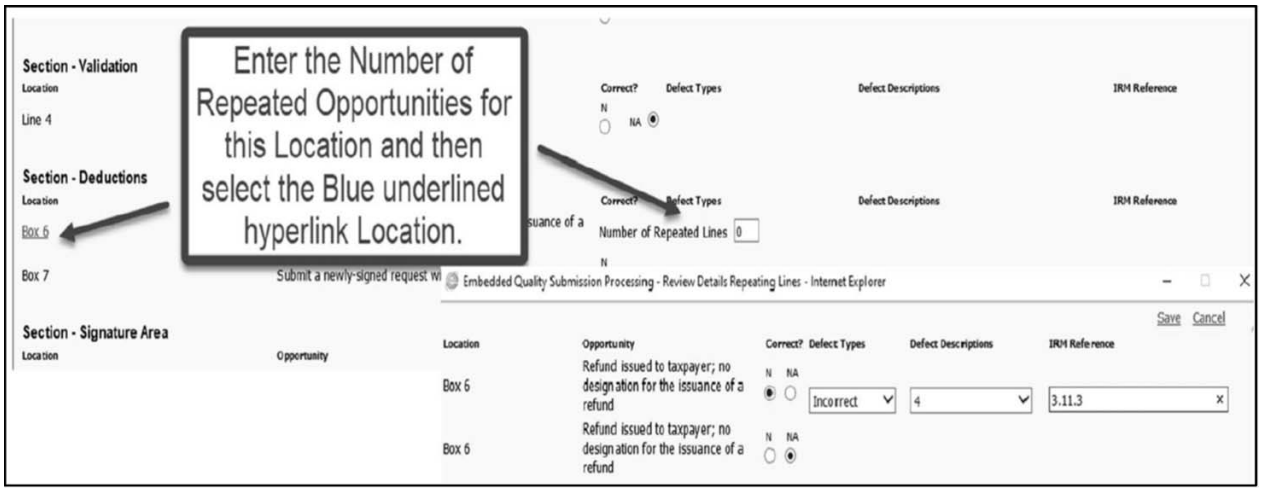

Figure 3.30.30-15 Review Detail - Repeated Opportunity Selection

a. Enter the number of repeated opportunities in the “# of Repeated Lines” box.
b. Select the blue colored hyperlink location. A screen generates listing the repeated opportunities.

Note: If you did not enter a number in the box, an Error Message will generate, which states, “Number of Repeated lines must be between 1- 100.” To clear the error message, select the OK option and enter a number in the box.

c. Code the defective opportunities.
d. Select either the “Cancel” hyperlink to cancel your selections and return to the Review Detail Screen, or select the “Save” hyperlink to save your selections. “The Repeated lines have been saved” confirmation screen will generate.
e. Select “Close” to return to the Review Detail Screen.

(9) Complete coding of any additional defective opportunities.

Note: To move between pages, select the Page Number link or the Next page link, located at the top right or bottom right of the DCI.

Caution: Do not use the back or forward browser buttons.

(10) When defects are identified on schedules or forms included in the review, select the “Schedules” tab at the top to the right of the Review Details tab and code the appropriate defects. See **Figure 3.30.30-16.**

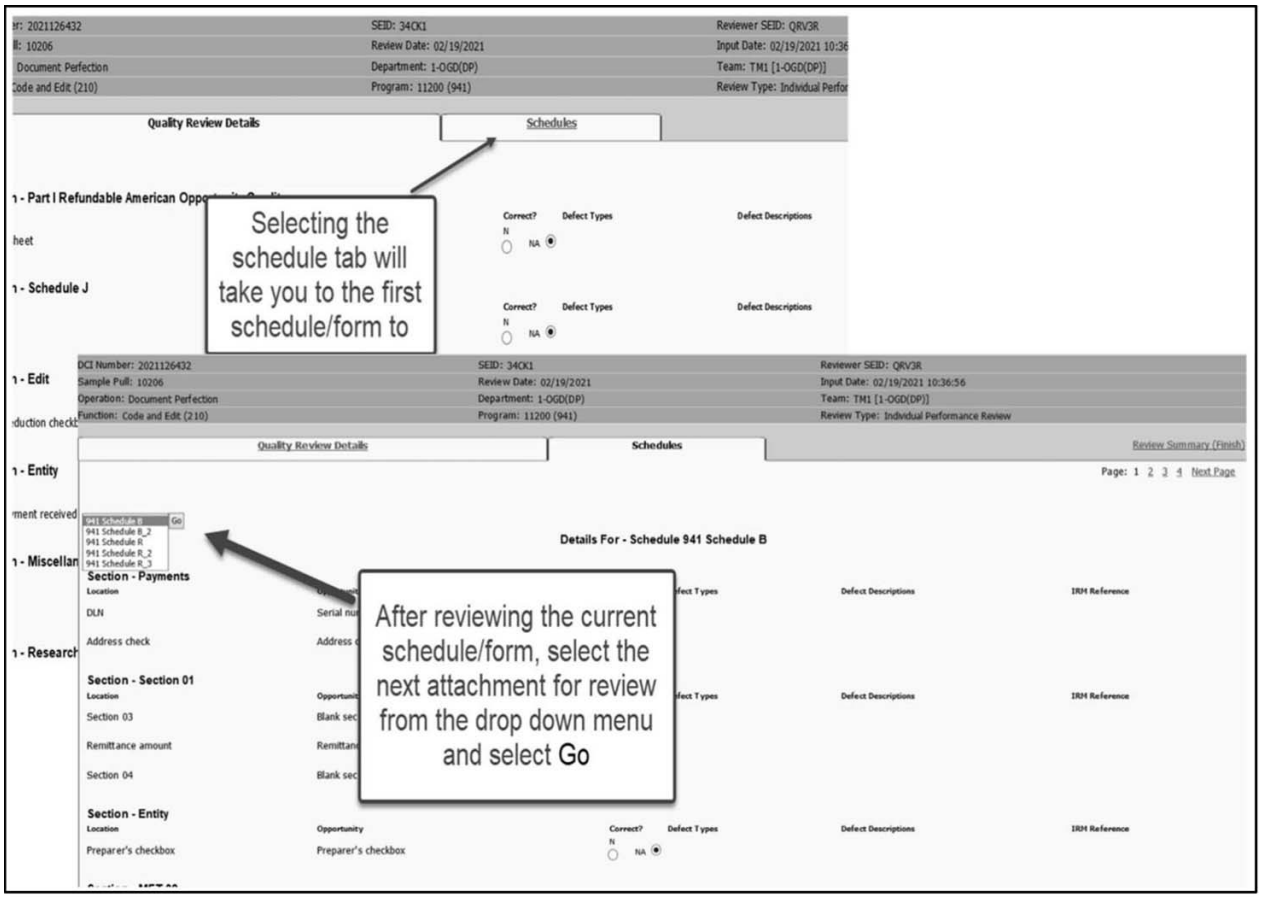

Figure 3.30.30-16 Review Details Screen - Schedule Tab

a. If multiple schedules or forms were identified for review, select the drop down arrow from the "Select a Schedule" field. Highlight the schedule/form and then select "Go."

b. Complete defect coding through all requested schedules or forms.

(11) Select the "Finish" hyperlink.

Note: If a Defect Type or Defect Description was not selected, an error message will generate.

3.30.30.7.1.7
(09-20-2023)
Review Summary Screen

(1) The Review Summary Screen summarizes the total number of defects based on the review just completed. You should validate that the total defects coincide with the review document. See **Figure 3.30.30- 17.**

EQSP Logout

DCI Number: 2021128418	SEID: DC2PL	Reviewer SEID: DC2QR
Sample Pull Id: 10303	Review Date: 04/23/2021	Input Date: 04/23/2021 16:23:30
Operation: Data Conversion	Department: 1-KC(DC)	Team: TM1 [1-KC(DC)]
Function: Data Conversion (230)	Program: 43110 (1040 (2017 a	Review Type: Managerial/OJT Review

Quality Review - Summary Edit Review Details Finish

Defects Summary

- The Sample Pull Id is: 10303
- Total number of defects found: 2

Form	Section	Line Number	Line Text	Defect Type	Description	IRM Reference
1099 INT	Part II Long-Term Capital Gains and Losses	Checkbox	Corrected checkbox	Incorrect	Entry	3.24.3.1
720	Schedule C	Inland waterways fuel use tax	IRS # 64	Incorrect	Keying	3.24.3.8

Figure 3.30.30-17 Review Summary Screen

(2) The Review Header portion of this screen displays the following:

a. DCI Number
b. SEID
c. Reviewer SEID
d. Sample Pull ID (Not Required on a Product Review)
e. Review Date
f. Input Date
g. Operation
h. Department
i. Team
j. Function
k. Program

Note: Items a through “k” systemically populate from information input to the Review Header screen.

l. “Edit Review Details” hyperlink: Select if you need to edit the “Quality Review Details” information.

Exception: Not available if the reviews were created using the “Document Correct Count” feature.

m. “Finish” hyperlink: Select the “Finish” hyperlink again to complete the review and save all data entered. The Reviewer’s Main Menu Screen will generate.

Note: Only completed DCIs will be used for system calculations.

(3) The Quality Review - Summary displays below the Review header:

- Sample Pull Id
- Total number of defect opportunities
- Total number of defects found
- For defective DCIs Forms, Section, Line Number, Line Text, Defect Type, and Description are displayed.

(4) "Defects Summary" shows the defect information **i.e.,**: Total Number of Defect Opportunities, Total Number of Defects Found, Form, Section, Line Number, Line Text, Defect Type, and Description.

- Sample Pull Id
- Total number of defect opportunities
- Total number of defects found
- For defective DCIs Forms, Section, Line Number, Line Text, Defect Type, and Description are displayed.

3.30.30.7.1.8
(08-16-2024)
Searching for a Review

(1) To generate the Provide Search Criteria Screen (see **Figure 3.30.30-18**), go to the Reviewer's Main Menu Screen (see **Figure 3.30.30-10**) or the Manager Main Menu Screen (see **Figure 3.30.30-5**) and select the "Search" button.

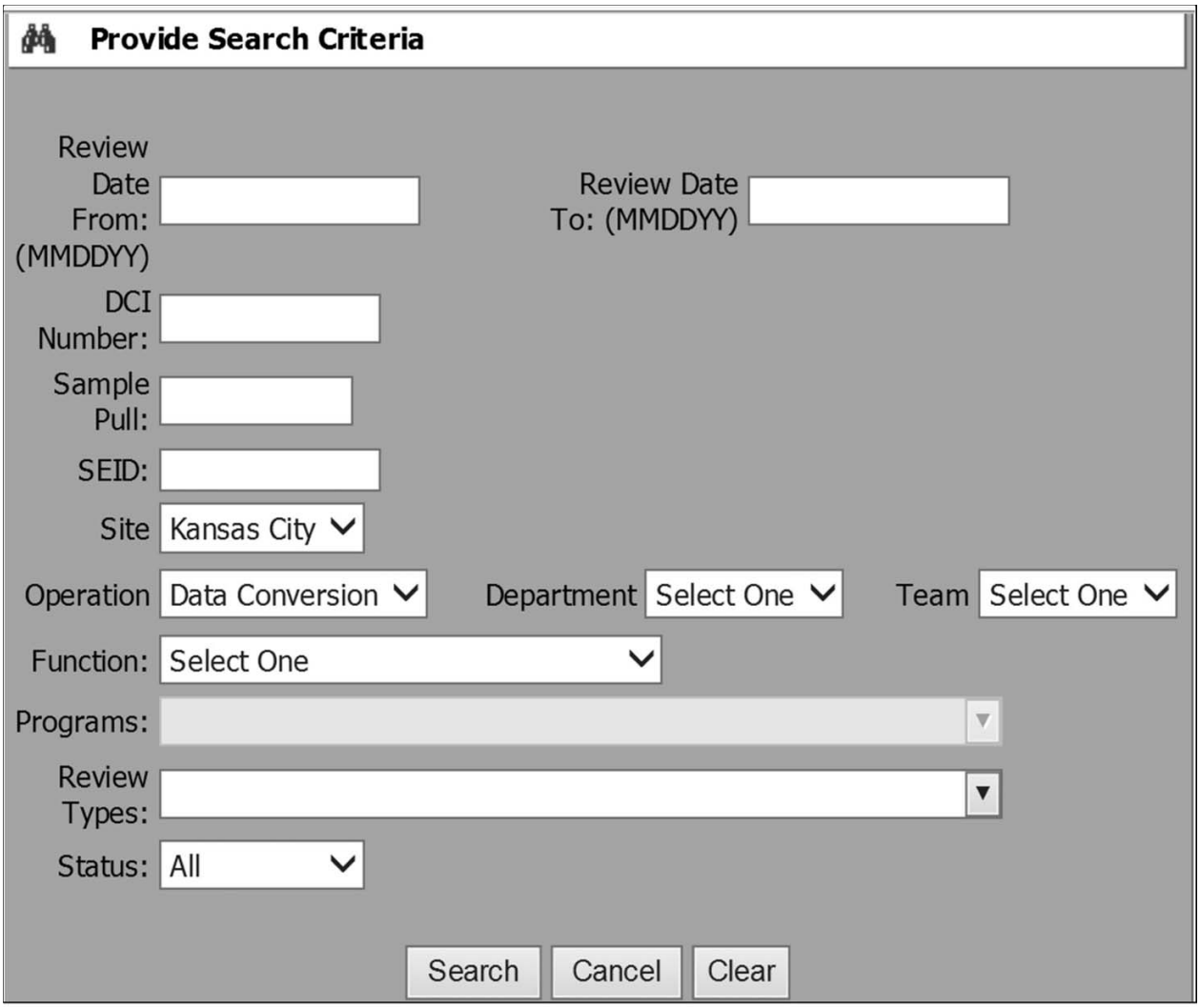

Figure 3.30.30-18 Provide Search Criteria Screen

(2) This screen has buttons; “Search” returns the search criteria entered; “Cancel” returns you to the Main Menu Screen; “Clear” removes the current search criteria entered.

(3) To search for a review enter or select one or more of the following searchable parameters:

a. Review Date Range (mmddyy): “From” and “To” date (the “To” date is not required for a single day search).
b. DCI number
c. Sample Pull
d. SEID (of the employee)
e. Site (computer generated)
f. Operation
g. Department
h. Team
i. Function

j. Program(s) (One or more programs may be selected based on the parent Function selected).
k. Reviewer SEID (limited to Quality Review Manager)
l. Review Type (Select one or more review types (based on user permissible role restrictions) including: Individual Performance Review, High Quality Work, Team Defect Review, Learning Curve Review, Managerial/OJT Review, or Product Feedback Review)
m. Status (Select one or more Statuses including: In-progress, completed, deleted, or modified)

Note: Search results for reviews in completed status will include reviews in modified status by default.

(4) Select the Search Button. The Review Search Results displays in a row or rows on the Reviewer's Main Menu Screen. Each row shows a "red X" (delete icon), a "fountain pen" (edit icon), DCI numbers, Review Type, Input Date, Employee's SEID, Sample Pull, Review Date, Reviewer, OFP, and Status.

Note: If no reviews satisfy search criteria, a message will generate at the bottom of the screen, which states, "No Reviews were found matching your search criteria."

a. Selecting the "red X" will delete the DCI. See IRM 3.30.30.5, System Profiles (Permissions), to determine which reviews may be deleted.
b. Selecting the "fountain pen" will allow you to edit the DCI, beginning at the Review Header Screen. See IRM 3.30.30.5, System Profiles (Permissions), to determine which reviews may be edited.

Note: Once a manager makes a change to a review, Quality Reviewers and P&A Analysts will not be able to modify the review. They will receive an error message stating, "This review was last edited by a Manager. Only Managers may now change this review."

c. Selecting a column header will sort lists by the selected column. A warning message will generate, if a sorted column header will cause a delay, stating, "Warning! Large list size will cause a long sort delay. Continue?" Select either Continue or Cancel.

3.30.30.8
(11-03-2017)
Quality Review Sampling

(1) The process of selecting a portion of completed work to be reviewed is called sampling.

(2) Random sampling is the process of selecting a portion of completed work during each week in such a way that all completed work has the same opportunity of being sampled, regardless of when the work is completed; this includes regular time, overtime, comp time, and/or credit hours.

(3) The sample is generally selected by the quality team clerk after the work is released by the employee. Quality reviewers select the sample in limited circumstances but the reviewer of the work should not select the sample.

(4) The work must include the date it was completed and include at least one employee identification to ensure the employee's work is correctly identified. ***Example:*** Data Conversion Operation samples ISRP work by Entry Operator (EOP). Input Correction Operation samples Notice Review work by employee IDRS number. Some work areas identify an employee's work by SEID. Seldom is work sampled by the employee's name.

(5) Similar OFP work is batched together to facilitate sample selection; the work is identified by OFP and usually includes the volume (number of cases or documents in the batch).

(6) Sites may use the Randomizer located on the EQSP Web, a Table of Random Numbers, or other method to secure a random sample pull from all completed work.
To use the Randomizer:

- Access Embedded Quality Submission Processing, Training and Sampling at: *http://win.web.irs.gov/EQSP/Training.htm*.
- Select “New! Randomizer.org” and “Randomize Now.”
- Set of Numbers - Generate “1” set of numbers to be used for all employees or generate the number of employees being reviewed to obtain a set of random numbers for each employee.
- Numbers Per Set - Enter the number of documents required for the sample pull.
- Number Range - Enter the number of documents available in the completed work (the number to be sampled from, always beginning with the number “1”.
- Leave the number in a set to remain unique, sort the numbers that are generated, and view your random numbers with “Place Markers Off.”
- Click “Randomize Now” to obtain the set(s) of unique random numbers requested.

3.30.30.8.1
(03-20-2018)
Individual Review Sampling

(1) The Individual Quality Review is a process designed to sample an employee’s completed work for the purpose of providing feedback to the employee and providing the basis for evaluation of the employee’s performance on the measured CJE Business Results-Quality.

(2) The Recommended Annual Sample (RAS) is the recommended number of reviews required for each OF a measured employee works during the employee’s annual rating period, regardless of the number of programs worked or the length of the season.

(3) The RAS is 260 documents for each OF per employee. Additional documents can be sampled but the annual sample should remain as close as possible to the RAS. IF the RAS is reached prior to the end of an employee’s rating period, sampling may be decreased, but it must continue.

(4) Valid individual quality review sampling includes random sampling to ensure the sample adequately represents an employee’s actual performance and therefore is taken on a continuous basis (generally weekly) throughout the employee’s rating period.

Reminder: Random sampling is the process of selecting a sample in such a way that all completed work has the same opportunity of being sampled, regardless of when the work is completed; this includes regular time, overtime, comp time, and/or credit hours.

(5) Management provides the Quality Team with a weekly recommended sample size for each employee. The Quality Team pulls the sample based on the sample request.

(6) The recommended weekly sample is four samples for each OF the employee works during the week, pulled across the week. (A sample contains at least one document but there is no limit to the maximum number of documents in a sample.)

Note: The recommended weekly sample of four samples for each OF the employee works is based on the availability of work completed across the week after Learning Curve is met for the OFP (parent); if the employee does not complete work within the OF at least four days a week, the daily sample is based on only the number of days the employee completed the work within the OF.

(7) A Sampling Report is available in the EQSP system (MEPS Menu). The Sampling Report is created by Team Managers and by Quality Managers and is utilized to monitor and adjust an employee's sample size. The MEPS Sampling Report can be exported to Excel and serves as the weekly sample pull sheet. See IRM 3.43.405 for information on MEPS Sampling Report.

Note: Changes to the weekly sample will occur if a change to any condition affects the number of weeks an employee works an OF; examples are learning curves, length of season, Projected Receipts and Program Completion Date (PCD) for OFs worked, and extended leave.

(8) Review results for all documents within a sample are input to EQSP with the same Sample Pull ID and require the same review date.

Note: The review date should be the date the sample was pulled for review; however, the review date can be the date the quality reviewer begins reviewing the documents sampled.

Reminder: Multiple identical defects and procedural or systemic defects removed from the employee's sample and charged to the team should be recorded in EQSP as Team Defect Review type. (The employee does not receive credit for the document sampled.)

Exception: Because Learning Curve Reviews are not part of the employee's sample for measured purposes, a Learning Curve Review is never removed from an employee's sample and recorded as a Team Defect Review.

3.30.30.8.2
(08-16-2024)
High Quality Work Sampling

(1) When quality review results for an OF produces an accuracy rate of 97.0% or higher, the work is considered High Quality Work (HQW) and sampled as High Quality Function (HQF).

(2) HQF is sampled as OF/Product Review rather than Individual Quality Review because it does not require the same degree of sampling as work producing a lower accuracy rate.

(3) HQF is sampled randomly from all work processed within the function on a continuous basis (generally weekly) throughout the quarter.

(4) HQF sampling requirements for an OF for the quarter are:

- A minimum of 300 documents/cases per Submission Processing Site.

- An average of five documents per day per quarter if sampled five days each week.

  Note: Additional samples can be pulled. There is no maximum sample.

(5) Review results for High Quality Work samples are entered into EQSP as Employee Review (employee SEID). The EQSP System recognizes the Operation/Function work as HQF and, if the employee has met Learning Curve, only High Quality Review and Managerial Feedback are available review types for the reviewer's selection.

Note: If the employee has not met Learning Curve for the OFP (parent), Learning Curve and Managerial/Feedback Review are the available review types.

(6) Random sampling must include any work processed within the function (from all shifts) throughout the week at a minimum of four days per week.

Note: If sample averages 4 days per week, the average daily sample must be increased to ensure the minimum 300 documents/cases per quarter are reviewed.

(7) High Quality Function (HQF) review results are input to EQSP as Individual Performance Reviews (employee's SEID) with the same Sample Pull ID for each document within the sample and must reflect the same review date for each document within the sample.

3.30.30.9
(11-03-2017)
EQSP Reports

(1) The EQSP Reports:

a. Capture specific defect information.
b. Provide a data to assist with SP work process improvement initiatives.

(2) Listed below are ten reports that can be generated using the EQSP Quality Review System:

- Single Event Sample Pull Report
- Employee Report
- Employee (Team) Report
- Team Report
- Department Report
- Operation Report
- Site Report
- Defect Summary Report
- Site/Program Summary Report
- Blank DCI Report

Note: Your user role will determine which reports you can generate. See IRM 3.30.30.3, Roles, and IRM 3.30.30.5, System Profiles (Permissions).

(3) From the Reviewers or Manager Main Menu Screen select the "Reports" button. The Report Selection Screen will generate. See **Figure 3.30.30-19.**

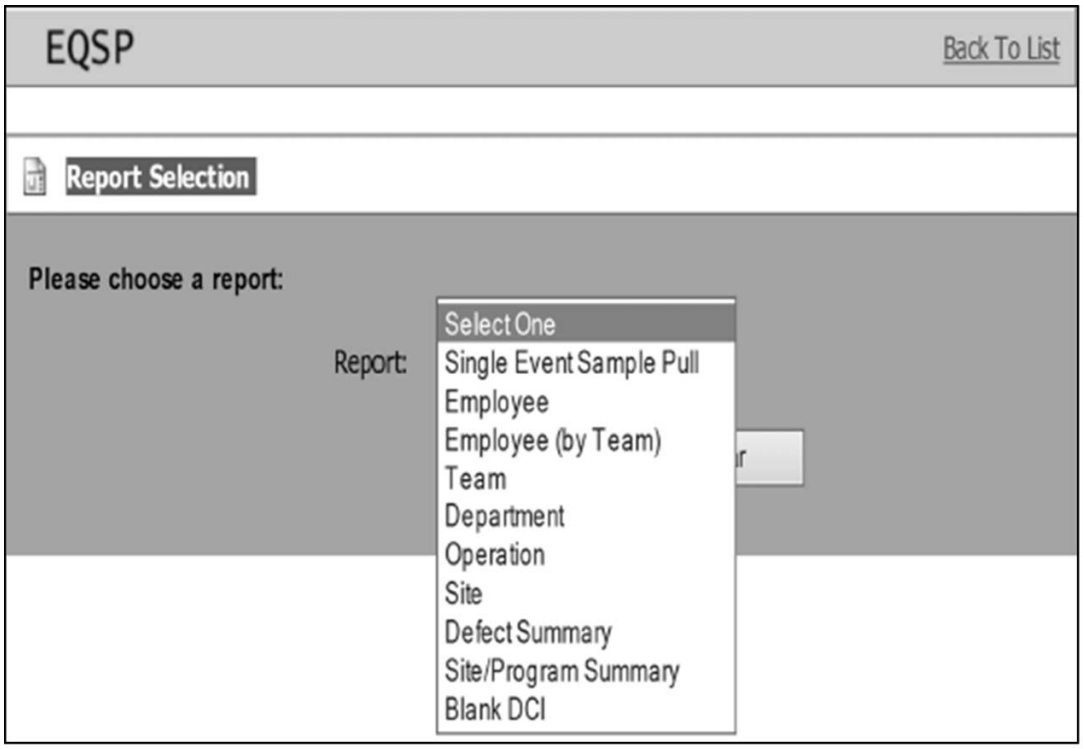

Figure 3.30.30-19 Report Selection Screen - Analyst User Role

a. A report can be generated by selecting the report type from the drop down menu.

Note: If a report type is not selected an error message will generate "please select a report type."

b. Continue by entering or selecting the appropriate parameters to generate the desired report

3.30.30.9.1
(11-03-2017)
Single Event/Sample Pull

(1) The Single Event Sample Pull provides real-time feedback on an employee's quality performance. See **Figure 3.30.30-20.**

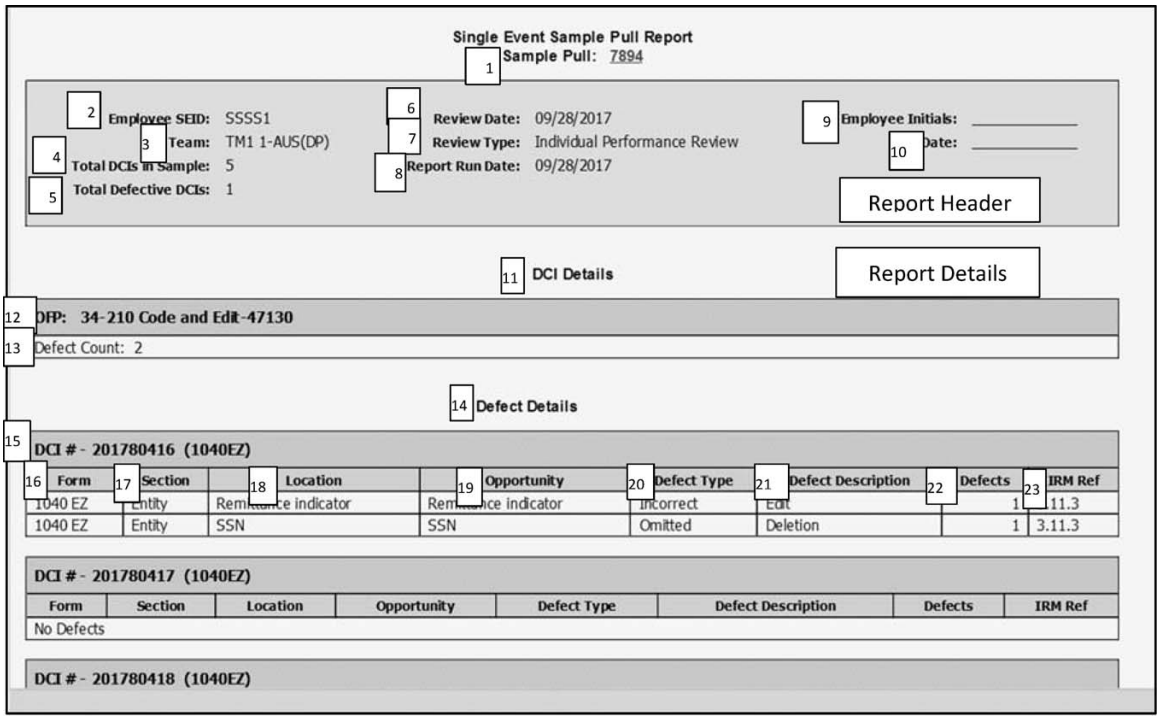

Figure 3.30.30-20 Single Event Sample Pull

a. The **Report Header** contains details from a single individual sample pull.
b. The **Report Detail** contains information for one DCI or multiple DCIs for a single sample. In the event of multiple DCIs, all reviews must be the same Review Type, Operation, Function, and Program.
c. This report will ONLY generate details for reviews in a “Completed” status.

(2) Team Managers must provide the employee with a copy of the report.

Note: The quality review team manager must ensure each single Event Sample Pull Report is printed and provided to the team manager for every quality review input to the employee’s SEID. The team manager must provide the employee with a copy of the report. This notification serves as a record of all quality reviews completed for each employee as a record of all quality reviews completed for each employee as well as a record of any defect(s) identified. It also provides required written notification when Learning Curve is met for each OFP (parent).

Reminder: Manager must keep an employee initialed and dated copy of a Single Event Sample Pull Reports for any Individual Performance Review type indicating the sample is the Last Learning Curve Review and Single Event Sample Pull Reports with defect(s) identified.

a. Review errors and provide specific suggestions for improvement.
b. Identify training needs.

(3) The table below describes each item shown on the Single Event Sample Pull.

Number	Item	Explanation
1	Sample Pull	System generated number used as sample identifier.
2	Employee SEID	SEID of employee reviewed.
3	Team	Employee's team.
4	Total DCI's in Sample	Number of DCI's within the Sample Pull.
5	Total Defective DCI's	Total number of defective documents in the sample.
6	Review Date	The calendar date the review was performed.
7	Review Type	The type of review (Individual Performance, High Quality, Team Defects, Learning Curve, or Managerial/OJT) performed.
8	Report Run date	The calendar date the report was generated.
9	Employee Initials	Placeholder for employee's initials (proof of receipt).
10	Date	Placeholder for the date the employee received feedback.
11	DCI Details	Summary of the review sampled.
12	OFP	Operation, Function, and Program details of the DCI.
13	Defect Count	Total number of defects from each individual review within the sample.
14	Defect Details	Summary of review results for each individual ID number within the sample(indicates "0" on defect free review).
15	DCI Number	System generated number for the Individual review within the sample and the related (Form/ Program).
16	Form	The name of the form/type where a defect occurred. ***Note:*** "No Defects" is indicated on defect free DCIs and all fields listed below are blank.

Number	Item	Explanation
17	Section	The name of the section where a defect occurred. (Blank on defect free DCIs).
18	Location	The name of the location where a defect occurred. (Blank on defect free DCIs).
19	Opportunity	The name of the opportunity where the defect occurred. (Blank on defect free DCIs).
20	Defect Type	A description of how the opportunity was defective. (Blank on defect free DCIs).
21	Defect Description	A description of why the opportunity was defective. (Blank on defect free DCIs).
22	Defect Count	Total number of occurrences for the defect identified.
23	IRM Reference	The IRM tridoc supporting the defect identified (The field will be blank if the reference is not input for the defect on the Quality Review Details screen and for defect free DCIs).

3.30.30.9.2
(09-14-2022)
Employee Report

(1) The **Employee Report** provides individual employee quality data for a specific time period, defined by the date parameters input on the Reports Selection Screen. It displays quality performance and feedback by all review types and OFP combinations. See **Figure 3.30.30-21.**

EQSP

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Employee Report

				8	9	10
1 Period Covered:	01/01/2023 - 12/31/2023	7 Review Type		DCIs	Def DCIs	Accuracy
2 Run Date:	02/19/2024	Individual Performance:		399	84	78.9%
3 Name:	PAUL PULLY	High Quality:		0	0	0.0%
4 Employee SEID:	JK1HB	Team Defect:		3	3	0.0%
5 Grade:	05	Learning Curve:		0	0	0.0%
6 Team:	TM1 [2-KC(DP)]	Managerial/OJT:		0	0	0.0%

11 **OFP: 34-210 Code and Edit-43110 (1040 (2017 and prior))**

12 **Individual Performance**

13	14	15
Sample Pull Count: 9	Total DCIs: 20	Total Defective DCIs: 7

Defect Details

16 Form	17 Section	18 Location	19 Opportunity	20 Defect Type	21 Defect Description	22 Total Defects
1040	Miscellaneous	Prior year form/schedule	Renumber	Omitted	Renumbering	3
8867	Part V Credit Eligibility Certification	Line 12 8867 certification	Yes/no checkbox	Omitted	Edit	3
1040	Entity	Computer condition code	CCC	Incorrect	8	1
1040	Entity	Return processing code	RPC	Omitted	B	1
1040	Payments	Line 64	Federal income tax withheld	Omitted	Deletion	1
1040	Tax and Credits	Line 45	Alternative minimum tax	Omitted	Prior Year Edit	1
1040 Schedule SE	Part I Section B	Line 8d	Calculated amount	Omitted	Edit	1

Figure 3.30.30-21 Employee Report

a. The **Report Header** contains details, by Review Type.
b. The **Report Detail** contains the summary information. All employee quality data is stratified by Review Type and OFP. All reviews with the same Review Type and OFP combination within the defined time period will be summarized.
c. This report will ONLY generate details for reviews in a “Completed” status.

(2) Managers and/or Leads may share this report with the employee:

a. Review what was done correctly.
b. Review errors and provide specific suggestions for improvement.

c. Identify coaching opportunities.
d. Identify training needs.

(3) The table below describes each item shown on the Employee Report.

Number	Item	Explanation
1	Period Covered	The “to” and “from” dates used in the parameter selection.
2	Run Date	The calendar date the report was generated.
3	Name	Name of employee reviewed.
4	Employee SEID	SEID of employee reviewed.
5	Grade	The employee’s grade.
6	Team	Employee’s team
7	Review Type	The type of review (Individual Performance, High Quality, Team Defects, Learning Curve, or Managerial/OJT) performed.
8	DCI’s	Total DCIs for each review type.
9	Def DCI’s	Total defective DCIs for each review type.
10	Accuracy	Calculated accuracy
11	OFP	Operation, Function, Program and related form details.
12	Review Type	Identifies review type related to the review details being displayed.
13	Sample Pull Count	Number of samples included in the review type for the related OFP
14	Total DCI’s	Number of DCIs included in the review type for the related OFP.
15	Total DCI’s Defect Type	Number of defective DCIs included in the review type for the related OFP.
16	Form	The name of the form/type where a defect occurred. ***Note:*** Field will display “No Defects” on defect free reviews.

Number	Item	Explanation
17	Section	The name of the section where a defect occurred. ***Note:*** Field will be “blank” on defect free reviews completed.
18	Location	The name of the location where a defect occurred. ***Note:*** Field will be “blank” on defect free reviews completed.
19	Opportunity	The name of the opportunity where the defect occurred. ***Note:*** Field will be “blank” on defect free reviews completed.
20	Defect Type	A description of how the opportunity was defective.
21	Defect Description	The descriptive of why the opportunity was defective.
22	Total Defects	Total number of occurrences for the defect identified.

Note: A team manager may choose the “Employee (Team)” option on the **Reports Selection** screen to produce an “Employee Report (Cumulative)” for each individual in the team. This feature allows a team manager to input the report parameters one time and each individual team member should be on their own page(s) when the “print” option is selected.

3.30.30.9.3
(11-03-2017)
Team Report

(1) The **Team Report** provides quality data for a defined period of time. The Report displays quality performance and feedback by all review types and OFP combinations within the designated period of time. See **Figure 3.30.30- 22.**

EQSP

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Team Report

Report Header

1 **Period Covered:** 01/01/2023 - 12/31/2023
2 **Run Date:** 02/19/2024
3 **Operation:** Document Perfection
4 **Department:** 2-KC(DP)
5 **Team:** TM1 [2-KC(DP)]
6 **Function:** Code and Edit (210)
7 **DCIs:** 8364
8 **Defective DCIs:** 2159
14 **Accuracy:** 74.2% 15 * Used in Accuracy calculation

9 Review Type	10 DCIs	11 Def DCIs	12 Accuracy
* Individual Performance:	8318	2113	74.6%
* High Quality:	0	0	0.0%
* Team Defect:	46	46	0.0%
Learning Curve:	469	229	51.2%
Managerial/OJT:	39	13	66.7%
Product:	0	0	0.0%
13 Total:	8872	2401	72.9%

Report Details

16 **Top 5 Defects**

17 Form	18 Section	19 Location	20 Opportunity	21 Defect Type	22 Defect Description	23 Defect Count
1040	Miscellaneous	Research	Research	Omitted	Action	131
1040	Entity	Received date	Received date	Omitted	Deletion	94
1040	Tax and Credits	Line 25d	Federal income tax withheld	Omitted	Deletion	87
1040	Entity	Received date	Received date	Omitted	Edit	84
1040	Miscellaneous	Prior year form/schedule	Renumber	Omitted	Edit	71

24 **Employee Summaries**

25 **Employee Name: ONE, EMPLOYEE (123RB)**

26 Total DCIs: 23 27 Total Defective DCIs: 1 28 Total Defects: 1

Employee Name: TWO, EMPLOYEE (456RB)

Total DCIs: 77 | Total Defective DCIs: 13 | Total Defects: 16

Employee Name: THREE, EMPLOYEE (789RB)

Total DCIs: 77 | Total Defective DCIs: 6 | Total Defects: 9

Employee Name: FOUR, EMPLOYEE (123SC)

Total DCIs: 41 | Total Defective DCIs: 13 | Total Defects: 17

Figure 3.30.30-22 Team Report

a. The **Report Header** contains details from a single team (as defined by the date parameters on the Reports Screen). Details on all reviews are provided by Review Type for a single team.
b. The **Report Detail** contains a single team's summary information. All quality data is stratified by the employees who belong to the team. All Review Types are aggregated in the employee details.
c. This report will ONLY generate details for reviews in a "Completed" status.

(2) This report contains performance information for all employees on the team. The manager and/or lead should use this report to:

a. Identify Best Practices for leveraging to other teams.
b. Review the team's performance.
c. Identify points for process improvement.

Note: This report contains specific employee data for all team members and should not be shared with the employees.

(3) The table below explains each item shown on the Team Report.

Number	Item	Explanation
1	Period Covered	The "to" and "from" dates used in the parameter selection.
2	Run Date	The calendar date the report was generated.
3	Operation	The name of the Operation selected by the end user.
4	Department	The name of the Department selected by the end user.
5	Team	The name of the Team selected by the end user.
6	Function	The name of the Function selected by the end user.
7	DCI's	Total DCIs for each review type.
8	Total Defective DCI's	Total defective DCIs for each review type.
9	Review Type	The type of review (Individual Performance, High Quality, Team Defects, Learning Curve, or Managerial/OJT) performed
10	DCI's	Total DCI's included in "Accuracy" calculation.
11	Defective DCI's	The total number of defective documents in the sample.
12	Accuracy	Calculated accuracy
13	Total	Cumulative total of DCI's and defective DCI's
14	Accuracy	Calculated Accuracy
15	"*"	Identifies specific review types used in "Accuracy"
16	Top five Defects	The summary of the Team's top five defects.

Number	Item	Explanation
17	Form	The name of the form/type where a defect occurred. ***Note:*** Field will be “blank” on defect free reviews completed.
18	Section	The name of the section where a defect occurred. ***Note:*** Field will be “blank” on defect free reviews completed.
19	Location	The name of the location where a defect occurred. ***Note:*** Field will be “blank” on defect free reviews completed.
20	Opportunity	The name of the opportunity where a defect occurred. ***Note:*** Field will be “blank” on defect free reviews completed.
21	Defect Type	A description of how the opportunity was defective.
22	Defect Description	A description of why the opportunity was defective.
23	Defect Count	The number of occurrences for the defect identified.
24	Managerial Summaries	Review information associated to Managerial/OJT review type will be displayed following the same format as **Employee Summaries**
25	Employee Name/SEID	Name and SEID of employee reviewed. ***Note:*** Team defects are identified as “Team”
26	Total DCI’s	Total DCIs from all review types with the exception of Managerial /OJT.

Number	Item	Explanation
27	Total Defective DCI's	Total DCIs with defects from all Review Types with the exception of Managerial/OJT.
28	Total Defects	Total defects pertaining to the employee and OFP combination identified.

3.30.30.9.4
(11-03-2017)
Department Report

(1) The **Department Report** provides departmental quality data for a specific time period defined in the date parameters on the Reports Screen. The Report displays quality performance by all Review Types and OFP combinations within the designated period of time. See **Figure 3.30.30-23.**

EQSP

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Department Report

Report Header

1 **Period Covered:** 01/01/2023 - 12/31/2023
2 **Run Date:** 02/19/2024
3 **Operation:** Document Perfection
4 **Department:** 2-KC(DP)
5 **Function:** Code and Edit (210)
6 **DCIs:** 37814
7 **Defective DCIs:** 8323
13 **Accuracy:** 78.0% 14 * Used in Accuracy calculation

8 Review Type	9 DCIs	10 Def DCIs	11 Accuracy
* Individual Performance:	37302	7811	79.1%
* High Quality:	0	0	0.0%
* Team Defect:	512	512	0.0%
Learning Curve:	3361	1059	68.5%
Managerial/OJT:	656	84	87.2%
Product:	9	1	88.9%
12 Total:	41840	9467	77.4%

Report Details

15 **Top 5 Defects**

Form	Section	Location	Opportunity	Defect Type	Defect Description	Defect Count
1040	Entity	Received date	Received date	Omitted	Deletion	323
1040	Miscellaneous	Research	Research	Omitted	Action	315
1040	Tax and Credits	Line 25d	Federal income tax withheld	Omitted	Deletion	237
1040	Entity	Received date	Received date	Omitted	Edit	197
1040	Miscellaneous	Correspondence initiated	Correspondence initiated	Incorrect	Action	166

16 **Team Summaries**

17 **TM1-2-KC(DP) OFPs**

18 **Team: TM1-2-KC(DP)**

19 Total DCIs: 8364 20 Total Defective DCIs: 2159 21 Total Defects: 3214

22 **Team: TM1-2-KC(DP) OFP: 34-210 Code and Edit-43110 (1040 (2017 and prior))**

23 Total DCIs: 564 24 Total Defective DCIs: 225 25 Total Defects: 379

26 **Top 5 Defects**

Form	Section	Location	Opportunity	Defect Type	Defect Description	Defect Count
1040	Miscellaneous	Prior year form/schedule	Renumber	Omitted	Renumbering	28
1040	Entity	Received date	Received date	Omitted	Deletion	21
1040	Payments	Line 64	Federal income tax withheld	Omitted	Deletion	15
1040	Miscellaneous	Research	Research	Omitted	Action	9
1040	Miscellaneous	Assembly of schedules	Assembly of schedules	Omitted	Action	8

Figure 3.30.30-23 Department Report

a. The **Report Header** contains details from a single department. Details on all reviews are provided by Review Type for the selected department.

b. The **Report Detail** contains a department's summary information for *Individual Performance, High Quality, and Team Defect Review Types only.* All quality data is stratified by the teams in the department.
c. This report will ONLY generate details for Individual Performance, High Quality, and Team Defect Reviews in a "Completed" status.

(2) This report should be used to:

a. Identify Best Practices for leveraging to other areas.
b. Review the department's performance.
c. Identify points for process improvement.

(3) The table below explains each item shown on the Department Report.

Number	Item	Explanation
1	Period Covered	The "to" and "from" dates used in the parameter selection.
2	Run Date	The calendar date the report was generated.
3	Operation	The name of the Operation from the end user selection.
4	Department	The name of the Department from the end user selection.
5	Function	The name of the Function from the end user selection.
6	DCIs	The total number of DCI's for a given review type within the date parameters.
7	Def DCIs	The total number of defective DCI's for a given review type within the date parameters.
8	Review Type	The type of review. (Individual Performance, High Quality, Team Defects, Learning Curve, or Managerial/OJT) performed.
9	DCIs	Total DCI's included in "Accuracy" calculation.
10	Defective DCIs	The total number of defective documents in the sample.
11	Accuracy	Calculated accuracy
12	Total	Cumulative total of DCI's and defective DCI's
13	Accuracy	Calculated accuracy
14	"*"	Identifies specific review types used in "Accuracy".

Number	Item	Explanation
15	Top five Defects	The name of the form/type where a defect occurred. Summary of the Department's Top five defects. ***Note:*** Format is the same as the "Team Report".
16	Team Summaries	Summary of each team in the Department.
17	Team Name	Indicates that summary information is going to be provided for the identified team and then further defined by the OFPs that were worked in that team for the time period parameter selected.
18	Team Name	Identifies the team summary information pertains to.
19	Total DCIs	Cumulative DCIs pertaining to the team identified.
20	Total Defective DCIs	Cumulative defect DCIs pertaining to the team identified.
21	Total Defects	Cumulative defects pertaining to the team identified.
22	Team/OFP	Identifies the "team" and "OFP" following summary information pertains to.
23	Total DCIs	DCIs pertaining to the team and OFP combination identified.
24	Total Defective DCIs	Defect DCIs pertaining to the team and OFP combination identified.
25	Total Defects	Defects pertaining to the team and OFP combination identified.
26	Top five Defects	Reflects the top five defects pertaining to the team and OFP combination identified. ***Note:*** Follows the same format as all other" Top five Defects "areas.

3.30.30.9.5
(11-03-2017)
Operation Report

(1) The **Operation Report** provides operational quality data for a specific period of time. The Report displays quality performance by all review types and OFP combinations. See **Figure 3.30.30-24.**

EQSP

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Operation Report

Report Header

(1) **Period Covered:** 01/01/2023 - 12/31/2023
(2) **Run Date:** 02/19/2024
(3) **Site:** Kansas City
(4) **Operation:** Document Perfection
(5) **Function:** Code and Edit (210)
(6) **DCIs:** 58700
(7) **Defective DCIs:** 13695
(13) **Accuracy:** 76.7% (14) * Used in Accuracy calculation

(8) Review Type	(9) DCIs	(10) Def DCIs	(11) Accuracy
* Individual Performance:	58018	13014	77.6%
* High Quality:	0	0	0.0%
* Team Defect:	682	681	0.1%
Learning Curve:	15693	5744	63.4%
Managerial/OJT:	769	116	84.9%
Product:	9	1	88.9%
(12) Total:	75171	19556	74.0%

Report Details

(15) **Top 5 Defects**

Form	Section	Location	Opportunity	Defect Type	Defect Description	Defect Count
1040	Entity	Received date	Received date	Omitted	Deletion	585
1040	Miscellaneous	Research	Research	Omitted	Action	563
1040	Tax and Credits	Line 25d	Federal income tax withheld	Omitted	Deletion	482
1040	Entity	Received date	Received date	Omitted	Edit	403
1040	Entity	Additional information line	Second name line	Omitted	Edit	321

(16) **Department Summaries**
(17) **2-KC(DP)-Document Perfection OFPs**

(18) **Department: 2-KC(DP)-Document Perfection**

(19) Total DCIs: 37814 (20) Total Defective DCIs: 8323 (21) Total Defects: 11657

(22) **Department: 2-KC(DP)-Document Perfection OFP: 34-210 Code and Edit-11140 (940 SCRIPS)**

(23) Total DCIs: 286 (24) Total Defective DCIs: 35 (25) Total Defects: 39

(26) **Top 5 Defects**

Form	Section	Location	Opportunity	Defect Type	Defect Description	Defect Count
940	Entity	Computer condition code	CCC	Omitted	F	4
940	Part I	Line 1a	State code	Omitted	Edit	4
940	Part IV	Line 14	Balance due	Omitted	Edit	4
940	Entity	Received date	Received date	Omitted	Edit	3
940	Entity	Tax year	Tax year	Incorrect	Edit	3

Figure 3.30.30-24 Operation Report

a. The **Report Header** contains details from a single operation for a specific time period (as defined in the date parameters utilized on the Reports Screen). Details on all reviews are provided by Review Type for the selected operation.
b. The **Report Detail** contains a single operation's summary information. All quality data is stratified by the departments belonging to the operation (as defined in the Operation parameter in the Report screen). ONLY Individual Performance Review, High Quality and Team Defect Types are included in the defect details.
c. This report will ONLY generate details for Individual Performance, High Quality, and Team Defect Reviews in a "Completed" status.

(2) This report should be used to:

a. Identify Best Practices for leveraging to other areas.
b. Review the operation's performance.
c. Identify points for process improvement.

(3) The table below explains each item shown on the Operation Report.

Number	Item	Explanation
1	Period Covered	The "to" and "from" dates used in the parameter selection.
2	Run Date	The calendar date the report was generated.
3	Operation	The name of the Operation from the end user selection.
4	Function	The name of the Function from the end user selection.
5	DCI	Number of DCI's in the Sample Pull.
6	Total Def DCIs	The total number of defective opportunities from all DCI's in the sample.
7	Review Type	The type of review. (Individual Performance, High Quality, Team Defects, Learning Curve, or Managerial/OJT) performed.
8	DCIs	The calendar date the report was generated.
9	Def DCIs	Total defect DCI's included in "Accuracy" calculation.
10	Accuracy	Calculated Accuracy
11	Total	Cumulative total of DCI's and defective DCI's.

Number	Item	Explanation
12	Accuracy	Calculated Accuracy
13	“*”	Identifies specific review types used in “Accuracy”.
14	Top five Defects	Reflects the cumulative top five defects related to the team.
15	Department Summaries	Summary of each department in the Operation.
16	Department Name	Indicates that summary information is going to be provided for the identified department and then further defined by the OFP’s worked in that department for the specified time period.
17	Department Name	Identifies the department summary information pertains to.
18	Total DCIs	Cumulative DCIs pertaining to the department identified.
19	Total Defective DCIs	Cumulative defect DCIs pertaining to the department identified.
20	Total Defects	Cumulative defects pertaining to the department identified.
21	Department and OFP	Identifies the “department” and“ OFP” the following summary information pertains to.
22	Total DCIs	DCIs pertaining to the department and OFP combination identified.
23	Total Defective DCIs	Defect DCIs pertaining to the department and OFP combination identified.
24	Total Defects	Defects pertaining to the department and OFP combination identified.
25	Top five Defects	Reflects the top five defects pertaining to the department and OFP combination identified. Note: Follows the same format as all other “Top five Defects” areas.

3.30.30.9.6
(11-03-2017)
Site Report

(1) The **Site Report** provides operational quality data for a specific time period. The Report displays quality performance by all review types and OFP combinations. See **Figure 3.30.30- 25.**

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Site Report

Report Header

1 **Period Covered:** 01/01/2023 - 12/31/2023
2 **Run Date:** 02/19/2024
3 **Site:** Kansas City
4 **Function:** Code and Edit (210)
5 **DCIs:** 58700
6 **Defective DCIs:** 13695
12 **Accuracy:** 76.7% * Used in Accuracy calculation
13

7 Review Type	8 DCIs	9 Def DCIs	10 Accuracy
* Individual Performance:	58018	13014	77.6%
* High Quality:	0	0	0.0%
* Team Defect:	682	681	0.1%
Learning Curve:	15693	5744	63.4%
Managerial/OJT:	769	116	84.9%
Product:	9	1	88.9%
11 Total:	75171	19556	74.0%

DCI Details

14 **Operation 34**

Report Details

15 **Document Perfection Operation**

16 Total DCIs: 58700 | 17 Total Defective DCIs: 13695 | 18 Total Defects: 19598

19 **Top 3 Defects**

Function	Form	Section	Location	Opportunity	Defect Count
Code and Edit (210)	1040	Entity	Received date	Received date	1013
Code and Edit (210)	1040	Entity	Return processing code	RPC	884
Code and Edit (210)	3531	Missing Information to Complete Return	Checkbox	Checkbox selection	656

Figure 3.30.30-25 Site Report

a. The **Report Header** contains details from a single site over a given period of time (as defined in the date parameters in the Reports screen). Details on all reviews are provided by Review Type for the selected site.
b. The **Report Detail** contains a single site's summary information. All quality data is stratified by the operations that belong to the site. ONLY Individual Performance, High Quality, and Team Defect review types are included in the defect details.
c. This report will ONLY generate details for Individual Performance, High Quality, and Team Defect Reviews in a "Completed" status.

(2) This report should be used to:

a. Identify Best Practices for leveraging to other areas.
b. Review the site's performance.
c. Identify points for process improvement.

(3) The table below explains each item shown on the Site Report.

Number	Item	Explanation
1	Period Covered	The “to” and “from” dates used in the parameter selection.
2	Run Date	The calendar date the report was generated.
3	Site	The name of the Site from the end user selection.
4	Function	The name of the Site from the end user selection.
5	DCIs	Number of DCI’s in the Sample Pull.
6	Def DCIs	The total number of defective opportunities from all DCI’s in the sample.
7	Review Type	The type of review. (Individual Performance, High Quality, Team Defects, Learning Curve, or Managerial/OJT) performed.
8	DCIs	The calendar date the report was generated.
9	Defective DCIs	Total defect DCI’s included in “Accuracy” calculation.
10	Accuracy	Calculated accuracy
11	Total	Cumulative total of DCI’s and defective DCI’s
12	Accuracy	Calculated accuracy
13	“*”	Identifies specific review types used in “Accuracy”.
14	Operation/OFP	Identifies the “operation” and “OFP” following summary information pertains to.
15	Operation Name	Identifies the operation summary information pertains to.
16	Total DCIs	Cumulative DCIs pertaining to the operation identified.
17	Total Defective DCIs	Cumulative defective DCIs pertaining to the operation identified.
18	Total Defects	Cumulative defects pertaining to the operation identified.

Number	Item	Explanation
19	Top three Defects	Reflects the top three defects pertaining to the operation identified. ***Note:*** Follows the same format as the “Top three Defects ”areas.

3.30.30.9.7
(11-03-2017)
EQSP Defect Summary Report

(1) The **EQSP Defect Summary Report** provides functional quality data for a defined period of time. The Report displays functional quality performance by all review types and OFP combinations within the designated period of time. See **Figure 3.30.30-26.**

EQSP

Export to Excel | Back to Report Selection | Back To List

EQSP Defect Summary Report

1 **Period Covered:** 01/01/2023 - 12/31/2023
2 **Report Date:** 02/19/2024

Report Header

3 **DCIs:** 1104966
4 **Defective DCIs:** 171553
5 **Accuracy:** 84.5%

Report Details

6 **Submission Processing Top 5 Defects**

7 Function	8 Form	9 Section	10 Location	11 Opportunity	12 Total Defects
Code and Edit (210)	1040	Entity	Received date	Received date	3082
Code and Edit (210)	1040	Entity	Return processing code	RPC	2579
Entity Control (390)	Unpostables	Unpostables	Unpostable resolution code	URC	2470
Entity Control (390)	Unpostables	Unpostables	Transaction code	TC	2351
Rejects (350)	1040	Entity	Taxpayer notice code	TPNC	2262

13 **Top 3 Defects by Site**

14 **Austin Submission Processing Center**

Function	Form	Section	Location	Opportunity	Defect Count
ITIN Real Time System (RTS) (380)	W-7 With Return	RTS Application Input Screen	Remarks	Remarks	1399
Tax Account Activity (710)	1040 X	1040X MeF	Correspondence Imaging Inventory (CII)	Case data	1108
Tax Account Activity (710)	1040 X	1040X MeF	Correspondence Imaging Inventory (CII)	Reassignment	1068

Kansas City Submission Processing Center

Function	Form	Section	Location	Opportunity	Defect Count
Code and Edit (210)	1040	Entity	Received date	Received date	1013
Code and Edit (210)	1040	Entity	Return processing code	RPC	884
Code and Edit (210)	3531	Missing Information to Complete Return	Checkbox	Checkbox selection	656

Figure 3.30.30-26 EQSP Defect Summary Report

a. The **Report Header** contains the period of time (as defined in the date parameters in the Reports screen).
b. The **Report Detail** contains all of Submission Processing's Defect summary information. All quality data is stratified by function. Only Individual Performance, High Quality, and Team Defect Review types are included in the defect details.
c. This report will ONLY generate details for Individual Performance, High Quality, and Team Defect Reviews in a "Completed" status.

(2) This report should be used to:

a. Identify Best Practices for leveraging to other areas.
b. Review the site's performance.
c. Identify points for process improvement.

(3) The table below explains each item shown on the EQSP Defect Summary Report.

Number	Item	Explanation
1	Period Covered	The “to” and “from” dates used in the parameter selection.
2	Report Date	The calendar date the report was generated.
3	DCI’s	The calendar date the report was generated.
4	Defective DCI’s	Total defect DCI’s included in “Accuracy” calculation.
5	Accuracy	Calculated accuracy
6	Submission Processing Top five Defects	Cumulative top five defects for all sites.
7	Function	The name of the function where a defect occurred.
8	Form	The name of the form where a defect occurred.
9	Section	The name of the section where a defect occurred.
10	Location	The name of the location where a defect occurred.
11	Opportunity	The name of the opportunity where a defect occurred.
12	Total Defects	Total number of defects pertaining to the opportunity/defect and type of defect description combination from a defective review.
13	Top three Defects by Site	Cumulative top three defects for by individual sites.

Number	Item	Explanation
14	Site Name	Identifies the site summary information is being provided for. ***Note:*** Follows the same format as the "Top five Defects".

3.30.30.9.8
(11-03-2017)
EQSP Site Program Summary Report

(1) The **EQSP Site Program Summary Report** provides site and program quality data for a specific period of time. The Report displays site quality performance by all review types and OFP combinations. Additionally, the Report provides program quality performance by all review types by all OFP combinations. See **Figure 3.30.30-27.**

EQSP

Export to Excel | Back to Report Selection | Back To List

EQSP Site Program Summary Report

1 Period Covered: 10/01/2016 - 03/01/2017
2 Report Date: 09/27/2017
Report Header
3 DCIs: 233
4 Defective DCIs: 60
5 Accuracy: 74.2%

Report Details

6 **Site Program Summary**

7 Site	8 Avg Sample Size	9 Total DCI Count	10 Total Defective DCI	11 Total Defects
Cincinnati	0.0	0	0	0
Ogden	0.0	0	0	0
Fresno	1.6	184	46	52
Austin	2.5	5	2	6
Kansas City	4.4	44	12	14

12 **Program Summary**

13 Program	14 Avgerage Sample Size	15 Total DCI Count	16 Total Defects
44450(1040 X)	1.6	179	51
43110(1040)	4.4	53	17
33350(W7 With Return)	1.0	1	4

17 **Program Defects**

18 Program	19 Function	20 Form	21 Section	22 Location	23 Total Defects
44450(1040 X)	Tax Account Activity	1040 X	Edit	Tax Period	6

Figure 3.30.30-27 EQSP Site Program Summary Report

a. The **Report Header** contains the period of time (as defined in the date parameters in the Reports screen).
b. The **Report Detail** contains all sites opportunity and defect summary information. All quality data is stratified by site. ONLY Individual Performance and High Quality Review types are included in the defect details.
c. This report will ONLY generate details for Individual Performance and High Quality Reviews in a “Completed” status.

(2) This report should be used to:

a. Identify Best Practices for leveraging to other areas.
b. Review the site’s performance.
c. Identify points for process improvement.

(3) The table below explains each item shown on the EQSP Site Program Summary Report.

Number	Item	Explanation
1	Period Covered	The “to” and “from” dates used in the parameter selection.
2	Report Date	The calendar date the report was generated.
3	DCIs	Cumulative DCIs for all sites combined.
4	Defective DCIs	Cumulative accuracy for all sites combined.
5	Accuracy	Cumulative accuracy for all sites combined.
6	Site Program Summary	Summarizes program information by each site.
7	Site	Identifies the site program information will be provided for.
8	Average Sample Size	The average number of DCI’s per sample pull.
9	Total DCI’s Count	Total number of DCIs for a given Review Type within the date parameters.
10	Total Defective DCI’s	The total number of defects from all Review types for.
11	Total Defects	The total number of Defects for all Individual Performance Reviews.
12	Program Summary	Summarized information by individual programs.

Number	Item	Explanation
13	Program Number	Displays individual programs numbers pertaining to summary.
14	Average Sample Size	The average number of DCI's per sample pull.
15	Total DCI Count	Total number of DCIs for a given Review Type within the date parameters.
16	Total Defects	The total number of defects for the Review Type/OFP combination.
17	Program Defects	Summaries defect information by the related program.
18	Program	The name of the program where a defect occurred.
19	Function	The name of the function where a defect occurred.
20	Form	The name of the form/type where a defect occurred.
21	Section	The name of the section where a defect occurred.
22	Location	The name of the location where a defect occurred.
23	Total Defects	Total number of defects pertaining to the opportunity/defect and type of defect description combination from a defective review.

3.30.30.9.9
(11-03-2017)
EQSP Blank DCI Report

(1) The **Blank DCI Report** provides a report to allow users to view Incorrect and Omitted defect descriptions for each opportunity in the selected DCI. The report allows users to expand or collapse Incorrect and/or Omitted columns to show or hide the defect descriptions. See **Figure 3.30.30-28.**

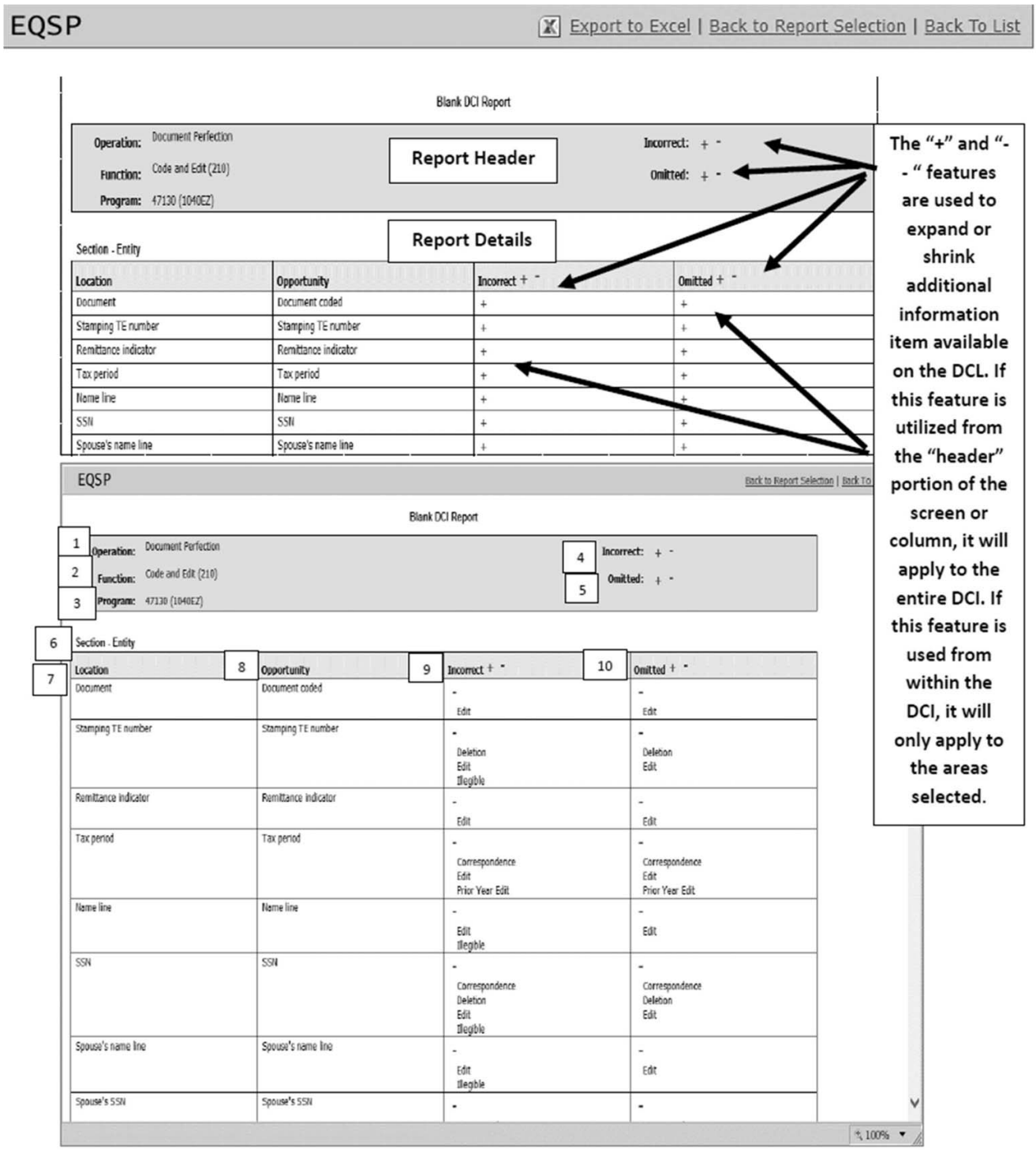

Figure 3.30.30-28 Blank DCI Report

a. The **Report Header** contains details from a single operation for a specific function and program DCI (based on span of control).

b. The **Report Detail** contains information for Incorrect and/or Omitted defect descriptions for each opportunity in the selected DCI
c. For all opportunities in the entire report, an overall “+” and “-” control appears at the top of the report.
d. For opportunities within each section of the report, “+” and “-” control appears in the section header for Incorrect defect description and Omitted defect descriptions.
e. For each individual opportunity within the report, a “+” and “-” control appears in each defect description column.

(2) Any Incorrect or Omitted that does not have associated defect descriptions displays as N/A with a gray background when the field is expanded.

(3) The table below describes each item shown on the Blank DCI Report.

Number	Item	Explanation (If needed)
1	Operation	The name of the operation of the DCI.
2	Function	The name of the function of the DCI.
3	Program	The name of the program of the DCI.
4	Incorrect + or -	This field allows users to expand or collapse the defect descriptions for the Incorrect column.
5	Omitted + or -	This field allows the users to expand or collapse the defect descriptions for the Omitted column.
6	Section	The name of the section where a defect will occur.
7	Location	The name of the location where a defect will occur.
8	Opportunity	The name of the opportunity where a defect will occur.
9	Defect Type - Incorrect	A description of the opportunity for Incorrect defect description.
10	Defect Type - Omitted	A description of the opportunity for Omitted defect description.

3.30.30.10
(12-01-2014)
EQSP Web Site

(1) The EQSP web page contains current resources and information for all levels of the EQSP User Community. Visit web address: *https://win.web.irs.gov/EQSP/Main.htm*.

(2) Comments and questions on this page or the information obtained from it should be sent to the HQ Quality Analyst responsible for the EQSP website maintenance.

3.30.30.11
(08-16-2024)
Issue Resolution Process (IRP)

(1) The Issue Resolution Process (IRP) provides a structured way for users to efficiently communicate their concerns, suggestions, or changes needed regarding the EQSP DCIs.

Note: New EQSP DCI development requests are submitted directly to the Program Management/Process Assurance (**PMPA**) Quality Analyst overseeing the operation. The EQSP Opportunity Change Request Template can be utilized for new DCI requests but do not fall under the five-day IRP response timeframe.

(2) The EQSP IRP Job Aid and the EQSP Opportunity Change Request (Excel) Template (Issue Log) are located on the EQSP Web site. Refer to this link: *http://win.web.irs.gov/EQSP/Issues.htm*

(3) When users from the functional area identify a missing opportunity or required change to an EQSP DCI, they should complete the EQSP Issue Log and send it to the P&A Site Improvement Specialist. The functional area should contact the P&A Site Improvement Specialist if assistance is needed to complete the template.

(4) The Site Improvement Specialist should:

a. Review the EQSP Issue Log to ensure it is filled out correctly and contains entries in all required fields.
b. Validate that the request is significant and appropriate.
c. Return the request to the submitter if the Issue Log is incomplete.
d. Complete the template (if not completed by the functional area).
e. Submit the reviewed template to the PMPA Quality-section by utilizing the EQSP Issue Resolution e-mail group **"*TS SP Quality EQSP Issue Resolution Requests"**.

3.30.30.11.1
(08-16-2024)
EQSP Opportunity Change Request Template (Excel spreadsheet)

(1) The Site Improvement Specialist or functional area should complete the EQSP Opportunity Change Request Template to submit a request to add, delete, change, or move a location/opportunity related to DCIs. The Template and Issue Resolution Process Job Aid is available on the EQSP Website. Visit the Website at: *http://win.web.irs.gov/EQSP/Issues.htm.*

(2) Open the spreadsheet. Select "file", then "save as." In the file name, select a name for the spreadsheet so it can be located easily. The file name should include the applicable operation symbol (SOI, RCO, DPO, DCO, ITIN, ICO, ACO), program, function, and current date.

Example: ICO - 43110 - F210 - 09-26-2017.

(3) The appropriate PMPA Quality Section analyst will enter the Issue Source, Issue Year, and Issue Number in columns A - D. The analyst may provide additional comments in column S outlining changes or denials.

(4) The Site Improvement Specialist will enter or verify the following fields before submitting the template:

a. Column (E), Operation: Enter the Operation Area (SOI, RCO, ITIN, DCO, DPO, ICO, or ACO).

b. Column (F), Function: Enter the Function as shown in EQSP (e.g., 210, 230, 340, 350)
c. Column (G), Program: Enter the Program as shown in EQSP (e.g., 43110, 43120, 11500)
d. Column (H), Form/DCI Name: Enter the Form or DCI name as shown in EQSP (e.g., 1040 (2019 and later), 1040 SR, 1120)
e. Column (I) Schedule (if applicable): Enter the Schedule as shown in EQSP (e.g., Schedule 1, 8606, 3471)
f. In Column (J), (Add/Delete/Change): Enter the requested action.
g. Follow the instructions in the table below:

Note: Multiple entries can be included on the same line in columns G and H if the requested change applies to multiple programs/DCIs. The "**ALT ENTER**" functionality will take you to a new line within the same field for listing multiple entries.

If your request is to ...	**Then ...**
Add an opportunity	1. Enter **add** in Column J 2. Enter the Current Section in Column K (if already available on the DCI) outlining which section of the DCI the new opportunity should be added to. Use Column N if a new section is being requested. 3. Enter the New Location in Column O. 4. Enter the New Opportunity in Column P. 5. Enter the Defect Description for (Incorrect) Defect Type in Column Q. 6. Enter the Defect Description for (Omitted) Defect Type in Column R. ***Note:*** The ALT ENTER functionality will take you to a new line within the same field or listing multiple defect descriptions if more than one is needed. ***Example:*** Common defect descriptions: **Entry**: Entering data into a system. **Keying**: A typo when entering data into a system. **Edit**: A pen edit made on a paper document. Edit: A pen edit made on a paper document. **Perfection**: Updating a system field to correct the previously entered data. **Deletion**: Marking a line number or form for deletion by editing an X. Also, used when removing a system entry by clearing or entering a "0". **Routing**: Route or transfer an item to a different area or location. 7. Enter Comments in Column S. Comments should indicate placement of the new opportunity and provide relevant information pertaining to the requested addition (e.g., Place new opportunity under Name Control opportunity). 8. Enter a Coding Example in Column T describing an example of an error that will be coded on the new opportunity. **This field is a mandatory entry**. 9. Enter the IRM reference in Column T. **This field is a mandatory entry**.

If your request is to ...	Then ...
Delete an opportunity.	1. Enter **delete** in Column J. 2. Enter the Current Section in Column K where the opportunity is currently located on the DCI. 3. Enter the Current Location in Column L. 4. Enter the Current Opportunity in Column M. 5. Enter the reason the opportunity is no longer required in the Comments field in Column S (e.g., opportunity is only required for tax year 2014, procedure was removed from new IRM, etc).
Change a location, opportunity, or defect description.	1. Enter **change** in Column J. 2. Enter the Current Section in Column K where the opportunity is currently located on the DCI. 3. Enter the Current Location in Column L. 4. Enter the Current Opportunity in Column M. 5. Enter the New Section in Column N. 6. Enter the New Location in Column O. 7. Enter the New Opportunity in Column P. 8. Enter the New Defect Description for Incorrect Defect Type in Column Q. 9. Enter the New Defect Description for Omitted Defect Type in Column R. 10. Enter Comments in Column S. 11. Enter a Coding Example in Column T describing the type of error to be coded on the opportunity. **This field is a mandatory entry**. 12. Enter the IRM reference in Column U. **This field is a mandatory entry**.
Move an opportunity.	1. Enter **Change** in Column J. 2. Enter the Current Section in Column K, where the opportunity is currently located on the DCI. 3. Enter the Current Location in Column L. 4. Enter the Current Opportunity in Column M. 5. Enter the Comments (indicate placement of opportunity, etc.) in Column S. ***Note:*** Comments should indicate placement of opportunity and provide relevant information pertaining to the requested change. 6. Enter the required IRM reference, in Column U. **This field is a mandatory entry**.

(5) If requested change impacts more than one Operation a separate template is required for each Operation.

3.30.30.11.1.1
(08-16-2024)
Reviewing and Resolving the Opportunity Issue Log

(1) The Designated HQ Quality Analyst should:

a. Review and research the submitted issue or request.
b. Coordinate with other HQ Quality Section Analysts on overlapping issues or when requested change(s) are also applicable to other operations.

c. Inform the submitter, within five business days, of the acceptance or rejection of their request. The five day time frame ensures that submitters receive prompt feedback, and minimize the number of duplicate Issue Log submissions.
d. Update/revise the submitted EQSP Opportunity Change Submission Template to comply with EQSP consistency and terminology guidelines.
e. Notate in the Status column (D) whether the request is accepted or rejected. If rejected, a reason should be provided to the submitter.
f. If the request is accepted, input the EQSP system changes into DAT.
g. Send the completed template to the originator, with a cc to the EQSP Issue Resolution e-mail group for control closure.

(2) HQ Analyst Issue Log Coordinator should:

a. Retrieve submitted requests from the EQSP Issue Resolution e-mail.
b. Review the request for EQSP consistency and appropriate verbiage.
c. Assign the request a control number on the current year Quality Section Control Log.
d. Assign to the designated HQ Quality Analyst.
e. Monitor the team controls for timely responses.
f. Close the Quality Section control upon issue resolution.

3.30.30.12
(12-01-2014)
Exhibits

(1) The following exhibits contain specific coding guidance for each Operation.

Exhibit 3.30.30-1 (01-01-2016)
SOI Operation (12) - Guidelines for Coding Opportunities

Function	Specific Guidance
220 SOI	Opportunities generally revolve around: • Transcribing or entering data from tax returns, schedules, and other documents • Interpreting information from documents which data to enter ***Note:*** Generally forms and schedules are not separated in the EQSP system. The forms are developed and specific schedules are linked to the forms for each program. SOI counts are developed for each return and schedule filed in the package, it is necessary for SOI to follow specific guidance to make online EQSP reports reflect useful quality data. This will affect any form received in SOI that has specific schedules attached to the forms, mainly the 1120 and 1040 return family. For forms or schedules received separately, general coding guidelines can be followed.
360 Imaging	Opportunities generally revolve around: • The scanning, re-scanning, validating, verifying, associating, releasing, restricting, and quality reviewing tax exempt documents that are imaged for public inspection.

Exhibit 3.30.30-2 (03-19-2018)
Receipt & Control Operation (31) - Guidelines for Coding Opportunities

Function	Specific Guidance
130 Pre-Batching	The **Batch/ Block Tracking System (BBTS) Section** on the DCI is for the creation of the Form 1332 with RPSID and batch ticket for RRPS input.
140 Extracting/ Secondary Sort	Opportunities generally revolve around: • Expediting all remittances to a Deposit activity • Reducing mail delivery time for pipeline processing • Identifying and controlling all documents to be processed **Sorting Documents** could be coded as multiple or repeated opportunities. The **Candling Section** of the Extraction DCI may be utilized as a stand-alone DCI when the series of actions are limited to only those within the Candling Section. Visually verified opportunities: • Scan for checks • Form Type
160 Remittance Perfection	Opportunities generally revolve around: • Inputting payments received via tax returns, ES coupons, or various documents such as receipts, notices and Levy payments • Interpreting from documents which data and codes to enter
170 Manual Deposit	Opportunities for Manual Deposit revolve around the: • Review of Forms, documents and remittances • Generation/Assignment of DLNs • Preparation and generation of Form 813 (Document Register) • Preparation and generation of Form 813-A (Recapitulation of Document Register.) • Numbering of returns, documents, and remittance • Encoding of remittances • Assignment of Trace ID numbers • Preparation and generation of deposit tickets (TGAnet/Manual DT-SF 215-A.) • Balancing of Forms Form 813/Form 813-A, forms/documents, remittances, and deposit tickets.
180 Batching	The DCI has two sections **Assembly** and **BBTS**: • **Assembly** is the action of counting, identifying and placing the work on a cart/wagon for BBTS input. • The section **BBTS** is for the creation of Form 9382 and includes the input of opportunities such as program code, tax class, received date, estimated quantity, etc.

Exhibit 3.30.30-2 (Cont. 1) (03-19-2018)
Receipt & Control Operation (31) - Guidelines for Coding Opportunities

Function	Specific Guidance
210 Code and Edit 210 RAIVS (4506T)	The DCI has three sections **General Information for Pre- processing, Correspondence, Unprocessable Related Items**. The Opportunities generally revolve around: • Request received from taxpayers or their representatives on form 4506T • Request for a Transcript of Tax Return • Completeness of request • Identification and authentication of taxpayer • Proper authorization for disclosure and accuracy of data input to TDS
360 Imaging	The DCI has three sections: 1. The **Correspondence Imaging System** is the action of scanning the document, and includes the input of opportunities such as batch class and size, document type, category code, program code, document and envelope position, etc,. 2. The **Batch Cover Sheet**, Form 13503 is for the creation of Form 13503 Cover sheet, and includes the batch name, scanner operator initials and the volume scanned. 3. The **Batch Verification** is the action of verification of the batch to be scanned. The opportunities include blank page, original document, and statute cleared date.
460 ICT Validation	Opportunities generally revolve around: The section **Validate Scanned Documents** is the action of validating documents scanned into the Correspondence Imaging system. The opportunities include: • TIN • Name control • Tax period • Document type • Category code • Program • CSR number • Sequence number • Poor quality image • Etc.

Exhibit 3.30.30-2 (Cont. 2) (03-19-2018)
Receipt & Control Operation (31) - Guidelines for Coding Opportunities

Function	Specific Guidance
550 Document Preparation	The DCI has four sections **Preparing Documents, Assembly, Batch Cover sheet - Form 13503, and Miscellaneous.** The section **Preparing Documents** is the action of preparing the documents to be scanned into the Correspondence Image System. The opportunities include: • Staples, paper clips or rubber bands • ICT received date • Damaged or torn document • Self stick note • Original document unreadable • Photocopied document • Oversized enveloped • Multiple taxpayers
720 Receiving, Sorting, and Miscellaneous	Opportunities generally revolve around : • Sorting the mail receipts • Disassemble documents for scanning • Inserting document separator sheets • Creating Batch Cover Sheets
790 Tax Account Support Activity 3949A	The DCI has five sections: 1. **Section A**: Person or Business Reported 2. **Section B**: Alleged Violation 3. **Section C**: Reporter's Information 4. **Miscellaneous** 5. **Routing**

Exhibit 3.30.30-3 (07-01-2021)
ITIN Operation (32) - Guidelines for Coding Opportunities

Function	Specific Guidance
380 ITIN Real Time System (RTS)	Opportunities generally revolve around : • Processing request using the RTS system ***Example:*** **Situation**: Editing may be necessary when processing a W-7 with return. Form 2848 is submitted with W-7 to authorize an individual to represent the applicant before the IRS (follow procedures 3.21.263) but TE neglects to edit the ITIN on the form. **Coding**: In the **Edit** section for program 33350, code the **Location** Form 2848, **Opportunity** POA, **Defect type** Omitted, and **Defect description** ITIN
530 Pulling Returns and Documents	Opportunities generally revolve around: • Pulling Returns from the ITIN suspense wall • Association of CP 566's
720 Receiving Sorting and Miscellaneous	The DCI has six sections: 1. Folders 2. Document Sort 3. Assembly 4. Edit 5. Batch Slip Document 6. Sort
790 Tax Account Support Activity	Opportunities generally revolve around; • Preparing Documents to be filed. • Stripping CP notices, undeliverables, Form W-7's and etc. ***Example:*** Situation: Clerk prepared application to be sent to Files for retention and failed to remove all original supporting identification documentation to be mailed back to the applicant per instructions in IRM 3.21.263. Coding: In the **Assembly** section of the program 33350 code the Location **Attachments** and Opportunity **Original Documentation** with the defect type as **Omitted** and the defect description **Action.**

Exhibit 3.30.30-4 (03-19-2018)
Document Perfection Operation (34) - Guidelines for Coding Opportunities

Function	Specific Guidance
190 Numbering	Opportunities generally revolve around: • Visual verification of the information entered on Form 9382 and 1332 and editing of the block/batch volume • Numbering the returns in sequential order according to block size • Ensure the DLN is legible • Ensuring the correct DLN is numbered on every return in the block • Ensuring all documents in the block are the same form type for the assigned program number
210 Code and Edit 710 1040X	Prior year opportunities should always be coded as NA when reviewing current year returns. For Section (Miscellaneous), Location (Miscellaneous) and Opportunity (Sequence order): • Code N when the parent return and all schedules and attachments are NOT in proper transcription order • Leave as NA when reviewing a single page return Items that are not opportunities: • A line should not have and does not have an entry • A non T-line has an entry but requires no TE action • No coding is required and none is there Visually verified opportunities: • T-lines and T-COMPUTE lines • Sequence of Schedules and Forms • Sequence Number • Signature • Tax Period
220 SOI Editing	Opportunities generally revolve around: • Transcribing or entering data from tax returns, schedules, and other documents • Interpreting from documents which data to enter ***Note:*** Generally forms and schedules are not separated in the EQSP system. The forms are developed and specific schedules are linked to the forms for each program. SOI counts are developed for each return and schedule filed in the package, it is necessary for SOI to follow specific guidance to make online EQSP reports reflect useful quality data. This will affect any form received in SOI that has specific schedules attached to the forms, mainly the 1120 and 1040 return family. For forms or schedules received separately, general coding guidelines can be followed.

Exhibit 3.30.30-4 (Cont. 1) (03-19-2018)
Document Perfection Operation (34) - Guidelines for Coding Opportunities

Function	Specific Guidance
390 Entity Control	Opportunities revolve around: • Establishing an Entity • Maintaining a Entity • Perfecting taxpayer accounts Entity Follows procedures from the following IRMs: • BMF 3.13.2 • IMF 3.13.5 • EO 3.13.12 • EP 3.13.36
550 Support Activity	The DCI has four sections: 1. **Validate 9382 and 1332** 2. **Folder** 3. **Sort** 4. **Tax Form** Opportunities Revolve around: • Removing staples • Blacking out Extraneous information & consecutive for ID numbers • Editing • Repairing rips/tears of holes • Ensuring pages are in the correct order and in the right direction to be scanned.
770/780 Correspondence	There are two different DCIs for Correspondence: 1. **Correspondence Typing** is used by typing/clerical units who input letters into IDRS 2. **Correspondence Forms** is used by teams who complete correspondence request forms (e.g., Form 6001, Form 3696, etc.) and correspondence forms (e.g., Form 3531, Form 6800, etc.) Opportunities generally revolve around: • Paragraph selections and fill-ins • Selection of the correct letter • Typing correct and complete information to generate a letter • Corresponding when appropriate Visually verified opportunities: • TIN, MFT and Tax Period • Name Lines • Address, City, State and Zip Code • Signature Code .

Exhibit 3.30.30-5 (07-01-2021)
Data Conversion Operation (35) - Guidelines for Coding Opportunities

Function	Specific Guidance
230 ISRP	**Block Header:** • To select the Block Header for review, click the Schedule box on the Review Header Screen and select Form 1332 from list of schedules • The Block Header should be included in the review as an attachment to the first document sampled within a single block/folder of work. • It should not be counted as part of the sampling count, but should be considered as an attachment to the first document sampled within a single block/folder of work. Exception: If a resume block is selected and the employee being reviewed is not responsible for the Block Header, then the Form 1332 should not be selected for review. **Must Enter Fields:** • Must Enter Fields are opportunities only when an entry is present or an entry is input when no entry is present. The input of F7 or zero(s) to by-pass a must enter field is not an opportunity. • For example, RPC is a must enter field. 1. If an RPC is not edited on the tax return, but one is input, the opportunity should be coded as “N” with defect type “incorrect.” 2. If an RPC is edited on the tax return, but is not input, the opportunity should be coded as “N” with the defect type “omitted.” Omission of transcription data for a field may impact coding for subsequent fields: • If a transcriber omits an entry for a field, this action may prevent subsequent fields from becoming must enter fields. When this happens, the subsequent fields would not be considered opportunities, if the field is blank. For example: the dependent check box only becomes an opportunity when the name control or SSN are also input. • This Opportunity will only be coded “N” if an employee enters or fails to enter a section which has data required to be transcribed. Examples: 1. If an employee failed to transcribe a section with significant entries present on a document, code “N” Omitted for the opportunities that were not transcribed. Code “N” Omitted if the Blank Section should have been transcribed and was not. 2. If an employee enters information in a section which has no data to be transcribed. Code field with the erroneous entry as “N” Incorrect.

Exhibit 3.30.30-5 (Cont. 1) (07-01-2021)
Data Conversion Operation (35) - Guidelines for Coding Opportunities

Function	Specific Guidance
440 RRPS	Opportunities generally revolve around: • Inputting payments received via tax returns, ES coupons, or various documents such as receipts, notices, and Levy payments. • Interpreting from documents which data and codes to enter Items are not opportunities when: • A line should not and does not have an entry. • A "Must" enter field has no significant entry. Must Enter Fields are opportunities if: • There is a significant entry and there should be. • There is no entry and there should be. ***Note:*** SSN/EIN, Name Control or Check Digit, and Primary Transaction Amount are always considered opportunities. Must Enter Fields are not opportunities if: • There is no significant entry and there should not be (the must enter field is blank or zero). ***Note:*** Significant entry is equal to a positive or negative number other than zero.
470/480 SCRIPS	These returns are scanned through SCRIPS. If the information is not picked up by the scanner, the data transcriber (DT) is responsible for inputting this information. For example, the scanner did not pick up the information on line 10. The DT was required to input Line 10, but incorrectly input the entry on Line 11. Code an incorrect entry for Line 11.
550 Post Doc Prep	For Post-Doc Prep, defects generally revolve around: • Preparing documents for Files • Perfection of Document Locator Numbers (DLN) DLN sequencing Items are not opportunities when: • The IRM does not address the item. Many of the decisions you make about opportunity identification will involve required actions per the IRM. Required action: • There is no action and there should be. ***Example:*** DLN not written on folder, DLN Sequence, and DLN perfection will always be a required action

Exhibit 3.30.30-5 (Cont. 2) (07-01-2021)
Data Conversion Operation (35) - Guidelines for Coding Opportunities

Function	Specific Guidance
790 RAIVS/IVES	Opportunities generally revolve around: • Requests received from taxpayer or their representatives on Form 4506, Request for Copy of Tax Return or Form 4506. • Request for Transcript of Tax Return • Actions an employee took to complete their duties, e.g., validating requests that are processable; completing requested actions and notifying the taxpayer. EQSP provides one main DCI and several optional DCIs (schedules) to record quality review results for Return and Income Verification Services (RAIVS). Main DCI – Tax Account support Activity (790). Code when the tax examiner is required to validate a taxpayer request that may consist of: • Review of the proper fee amount received • Completeness of request • Identification and authentication of taxpayer • Proper authorization for disclosure and accuracy of data input to TDS

Exhibit 3.30.30-6 (03-19-2018)

Input Correction Operation (36) - Guidelines for Coding Opportunities

Function	Specific Guidance
270 Error Resolution	Whenever possible, code the point of error and do not code subsequent "ripple" defects. ***Example:*** Workable Suspense Inventory (ERS 13-42). **To resolve the case, the tax examiner is required to:** • As the documents are returned, enter the date received at the bottom of the charge-out. • Associate charge-out from the appropriate control area with the document. • If the record is in the Unworkable Suspense Inventory, use CC ACTVT to transfer the record to the workable file. • The following day use ERS 13-42 for assigning the record or refer to local procedures.
290 Unpostables/ID Theft	Whenever possible, code the point of error and do not code subsequent "ripple" defects. ***Example:*** Transcription error: Form 4251 was received with an unpostable code (UPC) 176, indicating the taxpayer name was incorrectly transcribed. **To resolve the case, the tax examiner is required to:** Research IDRS – CC INOLE Compare information on Form 4251 with the information retrieved on IDRS to determine the correct taxpayer name Access IDRS – CC UPRES input URC 6 to correct the Name Control and name line to resolve the case. Edit Form 4251 indicating actions taken to resolve case.
310 Research	Opportunities generally revolve around: • Actions an employee took to complete their duties to fill requests for documents received from IRS employees for returns that have been sent to FRC and to re-file those documents to. • EQSP provides one DCIs for FRC to record quality review results in Input Correction Function 520 Program 37500. Code for accuracy when the employee is required to request and re-file documents with FR. • There are no schedules.
340/350 CARE ERS Rejects	Whenever possible, code the point of error and do not code subsequent "ripple" defects. ***Example:*** TE did not correct an SSN that had been input incorrectly and instead sent the TPNCs indicating that person had been disallowed. In this case, code the defect for the SSN but not for the TPNCs. ***Note:*** If subsequent incorrect TPNCs are not related to the original point of error, code them as defects.

Exhibit 3.30.30-6 (Cont. 1) (03-19-2018)
Input Correction Operation (36) - Guidelines for Coding Opportunities

Function	Specific Guidance
360 Correspondence Imaging	Opportunities generally revolve around: • Actions an employee took to complete their duties to fill request for documents received from IRS employees. • EQSP provides one DCI for CIS to record quality review results in Input Correction Function 360. • Code for accuracy when the employee is required to prepare and scan documents input to CIS. • There are no schedules.
390 Entity Unpostables	Whenever possible, code the point of error and do not code subsequent "ripple" defects. ***Example:*** The tax examiner accessed IDRS – CC INOLES and determined the name line was transcribed on the Form 4251 with the wrong last name. Though the tax examiner accessed CC UPRES, they failed to input URC 6 to correct the name control and name line.
510 Cycle Control	Opportunities generally revolve around: • Receiving documents from mainline processing and preparing them for filing. • EQSP provides four DCIs for FRC to record quality review results in Input Correction Function 510: 1. Document Preparation (00000) 2. Shelving (00001) 3. 5147 IDRS Association (00002) 4. Listing (00004) • Code for accuracy when the employee is required to request and refile documents with FRC. • There are no schedules.
520 Central File Control	Opportunities generally revolve around: • Actions an employee took to complete their duties to fill requests for documents received from IRS employees for returns that have been sent to FRC and to refile those documents to. • EQSP provides one DCIs for FRC to record quality review results in Input Correction Function 520 Program 37500. • Code for accuracy when the employee is required to request and refile documents with FRC. • There are no schedules.
530 Pulling Returns	Opportunities generally revolve around: • Actions an employee takes to complete a request received from various functions within the IRS, including all sites and area offices. • EQSP provides four DCIs for Pulling Returns and Documents to record quality review results in Input Correction Function 530.

Exhibit 3.30.30-6 (Cont. 2) (03-19-2018)
Input Correction Operation (36) - Guidelines for Coding Opportunities

Function	Specific Guidance
540 Re-filing Returns	Opportunities generally revolve around: • Actions an employee takes to complete refilling requests received from various functions within the IRS, including all sites and area offices. • EQSP provides one DCIs for re-filing returns and documents to record quality review results in Input Correction Function 530.
590 Special Search	Opportunities generally revolve around: • Actions an employee took to locate requested returns or documents. The scope and sequence (how for to go in searching and where to go in searching) varies with the circumstances of each search, but do not close the case until all likely sources of information have been checked. • EQSP provides one DCI for Special Search to record quality review results in Input Correction Function 590 Program 00000. • Code for accuracy when required to locate return/document. • There are no schedules.
710 ID Theft	Whenever possible, code the point of error and do not code subsequent "ripple" defects: • The tax examiner reviewed the assigned math error notices for accuracy and determined the notices were correctly issued. • Tax examiner entered P in ONLR to release the notices. The return should be coded into EQSP as: first opportunity coded "Y" to indicate a completed review.
710 Notice Review	Whenever possible, code the point of error and do not code subsequent "ripple" defects: ***Example:*** If a REQ54 Code adjustment was required, but the TE did not initiate one, code the opportunity "REQ 54 input initiated " as "NO/omitted/point of error". Do not code the opportunities in the "Taxpayer Account: Adjustment" section that should have been accomplished as NO. ***Example:*** If a REQ54 was initiated and should not have been, Code the opportunity "REQ54 input initiated" as "NO/incorrect/point of error". Do Not code anything in the Taxpayer Account: Adjustment-section.
710 Tax Account Activity CP Notices	There are six DCIs for Tax Account Activity CP notices: • **Entity** • **CP 108** • **CP 267** • **Credit Transfer** • **Correspondence** • **Miscellaneous**

Exhibit 3.30.30-6 (Cont. 3) (03-19-2018)
Input Correction Operation (36) - Guidelines for Coding Opportunities

Function	Specific Guidance
770/780 Correspondence	There are two different DCIs for Correspondence: 1. Correspondence Typing is used by typing/clerical units who input letters into IDRS. 2. Correspondence Forms is used by teams who complete correspondence request form (e.g., Form 6001, 3696, etc.) and correspondence forms (e.g., Forms 3531, 6800, etc.). Opportunities generally revolve around: • Paragraph selections and fill-ins • Selection of the correct letter • Typing correct and complete information to generate a letter • Typing correct and complete information to generate a letter • Corresponding when appropriate

Exhibit 3.30.30-7 (03-09-2023)

Accounting Control Services Operation (37) - Guidelines for Coding Opportunities

Function	Specific Guidance
340 ERS (EFTPS)	Site Specific (Kansas City and Ogden)
410 Accounting Activity	Opportunities revolve around: • Preparation and/or verification of all documents and data for input to Revenue Accounting Control System (RACS).
410 Journalization	Journal Numbers include activity counts, posting numbers, system dates and dollar amounts for a specific ledger posting to IRS accounts. The opportunities revolve around: • Stamping source documents with journal numbers. • Routing appropriate forms and supporting documents to receiving campuses. • Verifying the extract received on a monthly basis.
410 General Ledger	General Ledger accounts require maintenance and internal controls necessary to ensure compliance with requirements of the IRS, DOT, and GAO. The opportunities revolve around: • Printing items related to each tax class under current assessments • Computing, entering and combining correct assessment data • Changing and entering erroneous journals • Verifying the 23C date • Posting the reverse of the original journal and pasting correct assessments • Balancing Forms 813 to Forms 3809 • Journaling to the appropriate General Ledger • Routing Forms 3245 with Form 813 to Batching in a brown folder • Routing the duplicate Form 813 and Form 3809 to the appropriate Accounting function • Attaching adding machine tape and entering data on RACS • Balancing the total monetary balance of the appropriate General Ledger accounts in each site to the balance of each MF account • Noting each Ledger entry with the cycle of the TEP, new unpostables, corrected and reclassified Unpostables schedule number of the 1098, 1185, Z listings and cycle of refunds • Journaling corrected and reclassified Unpostables • Investing new items to prevent aged items • Checking off General Ledger debits and credits • E-mailing Forms 6198 Fresno only (Paper check deposit processing): • Balancing and entering data to General Ledger accounts • Highlighting unapplied external leads • Stamping journal numbers on Form 3809 and DT's • Completing Forms 3210 • Copying and routing Form 3809

Exhibit 3.30.30-7 (Cont. 1) (03-09-2023)
Accounting Control Services Operation (37) - Guidelines for Coding Opportunities

Function	Specific Guidance
410 Trace ID Reconciliation	Trace ID's identify Deposit Tickets and their corresponding payments using a 20 digit number made from 14 characters related to the corresponding Deposit ticket and six characters representing the Detail Payment Transaction Record for an individual payment. The opportunities revolve around: • Verifying Trace ID is present • Verifying Form 2158 includes Trace ID • Assigning Trace ID's • Routing Deposit Tickets • Verifying Form 3245 includes Deposit Tickets and Trace ID's • Using correct Trace ID for counterfeit bill cases • Verifying and inputting Trace ID's into RRACS • Preparing dummy debit vouches • Verifying and Journaling Deposit Tickets from OTC net • Contacting Deposit and providing Trace ID's • Entering Trace ID error codes • Contacting functions causing Trace ID mismatches • Verifying actions taken to prevent mismatches • Referring Trace ID mismatches on cash processed in the CARE Field Assistance (FA) TAC's Area Office Analysts
420 Automated Manual Assessment	Opportunities for AMA revolve around: • Validation of Form 2859 for taxpayer data, transaction entries, and math calculations • Generation of Document Locator Number (DLN) • Input of Form 2859 information • Creation and printing of Form 3552C - Prompt Assessment Billing documents. • Printing of Form 813 (Document Register), listing Form 2859 assessment amounts, totals, and annotation of general ledger accounts for journalization.
420 Automated Non-Masterfile	When the Accounting Technician processes a request in error or omits processing the correct request per the taxpayer information input, the quality reviewer should limit coding to the following opportunity to prevent a ripple effect: (Request processed) When the Accounting Tech fails to process the Form 2859, but should have: • Code the opportunity "Request processed" as "N", Omitted, Processing.

Exhibit 3.30.30-7 (Cont. 2) (03-09-2023)
Accounting Control Services Operation (37) - Guidelines for Coding Opportunities

Function	Specific Guidance
420 Dishonored Checks	• Add checks to establish the case on DCF. • Balance and verify entries and make corrections to amounts input erroneously. • Research and identify audit trail of original credit. • Apply debits to taxpayer accounts. • Redeposit returnable checks. There are three main DCIs and several accompanying DCIs listed as "schedules" used to process cases for Dishonored Checks: 1. 37300 Dishonored Checks (BDADD): • Code when an employee balances and adds checks to the Dishonored Check File (DCF) using IDRS. 2. 37300 Dishonored Checks (BDAPL): • Code when an employee applies debits from the DCF to taxpayer accounts. 3. 37300 Dishonored Checks (BDOUT): • Code when an employee corrects money amounts on DCF to balance totals, or when an item amount is removed from DCF. Optional DCIs are listed as "Schedules" and should be selected only when applicable to the case being reviewed for BDADD and BDAPL: • Form 2424 • Form 3244 • Form 8157 • Form 8252 • Form 8269 • Form 8290 • Form 12993 • Form 14219 • Form 2287C
420 Manual Refunds	Opportunities revolve around: • Validation requirements and the processing of manual refunds. • Review requests for completeness and legibility Confirm there are no strike through or white outs. • Verify requests are received on current form revision Review supporting documentation • Validate authorized approving official signature and printed name. • Confirm entry of Employee ID number and phone number. • Verify taxpayer and tax account information verification on IDRS. • Verify accuracy of the refund and interest amounts using COMPAC/COMPAD; identification and correction of errors prior to input to REFAP. • Maintain case history Monitor requests weekly and process requests within required timeframe.

Exhibit 3.30.30-7 (Cont. 3) (03-09-2023)
Accounting Control Services Operation (37) - Guidelines for Coding Opportunities

Function	Specific Guidance
420 Refund Intercept	Site Specific (Ogden and Cincinnati)
550 Support Activity	Opportunities revolve around: • All clerical duties necessary for the controlling of work within and between Service Center functional areas. • Ensures timely input and release of adjustments on SCCF • Validates mismatch list from satellite functions • Validates non-received and off-cycle reports daily controls work within pipeline functions and staging of batch carts in priority order.
710 Erroneous Refund	The 710 Erroneous Refund DCI is the main DCI. This DCI will be selected when reviewing all erroneous refund cases. Optional DCIs are listed as "Schedules" and should be selected only when applicable to the case being reviewed for Erroneous Refund: • ER History Sheet • 86C Letter • 510C Letter • Form 813 • Form 2209 • Form 2209-A • Form 1099 or MISC • Form 3244 • Form 3245 • 3064C Letter • Form 3753 • Form 3809 • 3414C Letter • Form 8758 • Form 12857
630 Balancing	Opportunity revolve around: • Review of invalid transcripts and error coded control records, resolution of errors • Preparation of correction documents, on-line research and correction of Service Center Control File • Review and balancing of Control Data Recap, Daily Trail Balance, Revenue Receipts, tape releases, Block Proof Summary. • Research and resolve SCCF age cases and deletes. • Prepare and balance Form 3996, Tax Revenue Receipts Recap • Identify and initiate General Ledger corrections for input to RACS.

Exhibit 3.30.30-7 (Cont. 4) (03-09-2023)
Accounting Control Services Operation (37) - Guidelines for Coding Opportunities

Function	Specific Guidance
710 Unidentified Remittance	• Adding remittances to the URF File. • Researching remittances for proper disposition. • Applying remittances from the URF. • EQSP provides two main DCIs and several optional DCIs to record quality review results for Unidentified (UNID): 1. 37400 Unidentified Remittance (URADD): • Code when an employee adds remittance to the Unidentified Remittance File (URF). 2. 37400 Unidentified Remittance (URAPL) • Code when an employee applies or transfers remittances. Optional DCIs are listed as “Schedules” and should be selected only when applicable to the case being reviewed for URADD and URAPL. • Form 1687C (IDRS Letter) • Form 2424 • Form 8765 • Form 3731C (IDRS Letter) • Form 13154 • Form 4830
710 Excess Collection	• Adding credits to the Excess File • Researching credits for proper disposition Applying or refunding credits to taxpayer accounts or taxpayer from Excess • 37600 Taxpayer Account (XSADD): Code when an employee adds credits to the Excess Collection File • 37600 Excess Collection (XSAPL): Code when an employee applies or transfers a credit • 37600 Excess Collection (Research): Code when research is performed on open Excess Collection cases Optional DCIs are listed as “Schedules” and should be selected only when applicable to the case being reviewed for XSADD and XSAPL. • 0012C (IDRS Letter) • 0018C (IDRS Letter) • 0112C (IDRS Letter) • 0135C (IDRS Letter) • 0143C (IDRS Letter) • 0320C (IDRS Letter) • 1505C (IDRS Letter) • 1687C (IDRS Letter) • 2349CG (IDRS Letter) • Form 8758 • Form 8765 • Form 8766 / History sheet
710 Dept. of Justice	Site Specific (Kansas City)

Exhibit 3.30.30-7 (Cont. 5) (03-09-2023)
Accounting Control Services Operation (37) - Guidelines for Coding Opportunities

Function	Specific Guidance
790 Tax Account Support Activity	Opportunities revolve around: • Processing request for refund litigation • Controlling cases • Closing returned cases • Emergency refund litigation case requests

Exhibit 3.30.30-8 (04-13-2010)
Glossary

Batch: A batch is typically equivalent to one cart/truck of completed work.

Block: A block is typically equivalent to one folder of one employee's work, with multiple documents in it. Blocks are typically broken into three approximate sizes (<25 documents, 50 documents, or 100 documents). The block size depends on how many documents fit into a folder. Blocks may be in carts/trucks, bins, clips, baskets, etc.

Critical Job Elements (CJE): IRS document, specific to each position series, which states the performance requirements for the specific position series.

Data Collection Instrument (DCI): A Data Collection Instrument (DCI) is equivalent to one review in EQSP. One sample pull per DCI with one document reviewed is the standard (exceptions are Numbering and Batching).

Defect: An incorrect action taken or correct action not taken on a document/case/return.

Defect Description: The characteristics of the Defect Type within a work process.

Defective Document/Case/Return: a document/case/return which contains one or more defects.

Defect Type: General category used to describe an action inappropriate for the function being reviewed. For the EQSP system, there are two primary defect types – incorrect and omitted.

Document: One document is typically equivalent to one review in EQSP. If the weekly sample size for a function is five documents, then the sample process would consist of using the Random Number Calendar to identify first the block and then the document. Exceptions are the Batching and Numbering functions, where one block is equivalent to one document.

Embedded Quality Submission Processing (EQSP): A measurement system that will identify the cause and impact of errors, apply common measures to every level of the organization, and enable frontline employees to understand how their contributions impact IRS' performance.

Individual Feedback Review: Review conducted on completed work performed by trained employees to determine effectiveness of training and readiness of the employee for individual review.

Individual Performance Review: A process designed to sample an individual's work for the purpose of providing feedback to the employee and to provide the basis for evaluation of the employee's performance.

Location: Further clarifies where this opportunity might be found.

Example: On a tax form location would be, Line seven. For Non-Form-based actions, the Location text matches the Opportunity text.

On-the Job Training (OJT) Review: Reviews are typically 100% reviews of an employee's work during an initial training or coaching period. The results are used to identify training issues, determine job readiness, and monitor employees' procedural skill and progress.

Organization-Function-Program (OFP): The Organization, a five position number, representing (from left to right) two digits for the Operation, one digit for the Department, and two digits for the Team or Group. The Function, a three position number, represents a work action, group of actions, or specific action.

Percent Accurate: A figure representing the accuracy rate achieved by the employee per OFP/grade combination. Although this terminology continues to display on the system-generated reports, it is not currently used in EQSP.

Exhibit 3.30.30-8 (Cont. 1) (04-13-2010)
Glossary

Precision Margin: The degree of accuracy of sampled results.

Product Review: Random samples of a team's completed work to determine the quality of the product versus quality of the team's performance.

Opportunity: An opportunity is the point at which a specific action of an employee's job was either performed, or should have been performed, and must be Critical to Quality.

Quality Analysis: An appraisal of an operation or process to determine and report on whether that operation/process is functioning properly and whether it is conforming to established procedures, or to determine the core cause of quality problems.

Quality Improvement: The process of identifying problems or areas for improvement and approaching them with methodical problem-solving process.

Random Numbers Table: A table of numbers created by generating the digits "Zero" through "Nine" one after another in such a way that the order of the digits cannot be predicted.

Ratable: An employee is rateable when he or she spends at least 25% of his/her total time on measurable work or 40% of his/her direct time on measurable work.

Review Detail Screen: This screen contains the following information: Section, Location, Opportunities, Correct, Defect Type, Defect Description, and Schedules.

Review Header Screen: This screen gathers data such as the "Who, What, When, Where, and Why" of each review. It includes items such as Employee SEID, Organization, Function and Program.

Review Summary Screen: This screen displays the Defects Summary, total opportunities and total number of defects.

Sample Pull ID: The unique identification number for the sample being reviewed. The ID number groups like review samples into a single group. You must create a new Sample Pull ID every time a different employee or a different work product is being reviewed.

Sample Size: A group of items or documents selected for a quality review.

Section: The Sections on the Form, Schedule or Product.

Standard Employee Identifier (SEID): A unique five place identifier assigned to each IRS employee.

Issue Resolution Process: A structured approach to reviewing a system/process to determine how people, material, equipment, methods and environment impact output. This will identify and recommend improvement opportunities.

Tubs/Baskets: Either blocks or individual documents may be located in tubs and baskets. If there are multiple blocks in the tub/basket, then treat it like a cart/truck. If there are multiple documents in the tub/basket which make up one block, then treat it like it is a block for counting purposes.

Exhibit 3.30.30-9 (03-19-2018)
Roles and Permissions - Responsibilities

Note: The Roles and Permissions - Responsibilities chart has changed and will be updated with next IRM revision.

Exhibit 3.30.30-9 (Cont. 1) (03-19-2018)
Roles and Permissions - Responsibilities

Exhibit 3.30.30-9 (03-19-2018)

Roles and Permissions		System Admin.	Site Admin.	Site EQSP Admin.	Site MEPS Admin.	Site Assistant	Site Director	Management Asst.	HQ Mgr./Analyst	P&A Analyst	Ops Manager	Dept. Manager	QAO Manager
Profiles	Add Subordinates Profiles	X	X	X		X							
	Add Employee Profile Only						X	X			X	X	X
	Search/View Subordinates' Profile	X	X	X	X	X	X	X			X	X	X
	Edit Subordinates' Profile	X	X	X		X	X	X			X	X	X
	Terminate/Delete Profile	X	X	X		X							
Individual Performance/ HQW/Team Reviews	Create DCI	X	X	X									X
	Search and View DCI	X	X	X			X				X	X	X
	Modify Existing DCI	X	X	X									T
	Delete DCI	X	X	X									T
Managerial/OJT Reviews	Create DCI	X	X	X								X	X
	Search and View DCI	X	X	X			X				X	X	X
	Modify Existing DCI	X	X	X								T	T
	Delete DCI	X	X	X								T	T
Product Reviews	Create DCI	X	X	X	X					X		X	X
	Search and View DCI	X	X	X	X		X			X	X	X	X
	Modify Existing DCI	X	X	X	X					T		T	T

1

T = denotes there are time restrictions in performing this action

X = denotes the role who can perform this action

Exhibit 3.30.30-9 (Cont. 2) (03-19-2018)
Roles and Permissions - Responsibilities

Exhibit 3.30.30-9 (03-19-2018)

Roles and Permissions		System Admin.	Site Admin.	Site EQSP Admin.	Site MEPS Admin.	Site Assistant	Site Director	Management Asst.	HQ Mgr./Analyst	P&A Analyst	Ops Manager	Dept. Manager	QAO Manager
EQSP Reports	Delete DCI	X	X	X	X					T		T	T
	Employee Single Event	X	X	X			X				X	X	X
	Employee Cumulative	X	X	X			X				X	X	X
	Team	X	X	X	X		X		X	X	X	X	
	Dept.	X	X	X	X		X		X	X	X	X	X
	Ops	X	X	X	X		X		X	X	X	X	
	Director	X	X	X	X		X		X	X	X	X	X
	Function Defect Summary	X	X	X	X		X		X	X	X		
	Site Program Summary	X	X	X	X		X		X	X	X		
MEPS Reports and Listings Systemically Generated and sent to Control-D to be viewed	IRP(Weekly, Monthly, Annual and AD-Hoc)	X	X		T		X				T	T	T
	Quality Base Point	X	X		X		X				X	X	X
	Efficiency Base Point	X	X		X		X				X	X	X
	Mid Quarter/Quarterly Performance	X	X		X		X				X	X	X
	Operation Quarterly Numerical	X	X		X		X				X	X	X
	Team Learning Curve	X	X		X		X				X	X	X
	Release Recall	X	X		X		X				X	X	X
	Quarter Quarterly Performance Reports	X	X		X		X				X	X	X
	Sampling Report	X	X		X		X				X	X	X

2

T = denotes there are time restrictions in performing this action X = denotes the role who can perform this action

Exhibit 3.30.30-9 (Cont. 3) (03-19-2018)
Roles and Permissions - Responsibilities

Exhibit 3.30.30-9 (03-19-2018)

Roles and Permissions		System Admin.	Site Admin.	Site EQSP Admin.	Site MEPS Admin.	Site Assistant	Site Director	Management Asst.	HQ Mgr./Analyst	P&A Analyst	Ops Manager	Dept. Manager	QAO Manager
MEPS Reports and Listings Systemically Generated and sent to Control-D to be viewed	Missing Employee Report	X	X		X		X				X	X	X
	Operation Rating Statistics Report	X	X		X		X				X	X	X
	Service Center (SC) Rating Statistics Report	X	X		X		X				X	X	X
	National Rating Statistics by SC Report	X	X		X		X				X	X	X
	EMP=3 Coded Employee Report	X	X		X		X				X	X	X
	Minimally Successful and Below Employee by Operation Report	X	X		X		X				X	X	X
	Weekly No Volume OFP Report	X	X		X		X				X	X	X
MEPS Screens	Base Point Search	X	T		T		T				T	T	T
	Quality Base Point - Revise	T											
	Efficiency Base Point - Revise	T	T		T		T				T		
	Quality Base Point - Add	T											
	Efficiency Base Point - Add	T	T		T		T				T		
	IRP Adjustment	T	T		T		T				T	T	T
	Quality Learning Curve - Search	X	X		X		X				X	X	X
	Release Recall	X	X		X		X				X	X	X
DAT	Add/Modify/Delete Opportunities	X											
	Year Rollover	X											
	IRS Holidays	X											

3

T = denotes there are time restrictions in performing this action

X = denotes the role who can perform this action

Exhibit 3.30.30-10 (08-16-2024)
Single Sign On Authentication User Login Screen

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