



DEPARTMENT OF THE TREASURY  
INTERNAL REVENUE SERVICE  
WASHINGTON, D.C. 20224

June 21, 2017

Control No. AP-08-0617-0008

Expiration Date: 10/31/2017

Affected IRM: IRM 8.20.5

MEMORANDUM FOR APPEALS EMPLOYEES

FROM: Anita M. Hill /s/ *Anita M. Hill*  
Director, Case and Operations Support

SUBJECT: Appeals Electronic 3210 (E3210) Test

The Appeals test of the Small Business/Self Employed (SB/SE), Corporate Data Initiative (CDI) *Transmittal Database* will begin on July 1, 2017, and conclude on October 31, 2017. This test will allow Appeals to determine the feasibility of transitioning from the current Appeals Form 3210, *Document Transmittal*, process to use of the SB/SE CDI *Transmittal Database* for initiation of an E3210, as well as suspense, control, acknowledgement, retention and purge actions. The test includes designated Appeals employees who received training and have access to the CDI *Transmittal Database*. Please distribute this information to all affected employees within your organization.

**Purpose:** This guidance provides an overview of the Appeals E3210 process for the 120-day test period from July 1, 2017, through October 31, 2017.

**Background/Source(s) of Authority:** Form 3210, *Document Transmittal*, is a required-use document, the purpose of which is to control the transfer of custody for official documents between all IRS offices and functions in accordance with [IRM 1.22.3.8](#), *Requirements for Shipping Personally Identifiable Information (PII)*.

**Procedural Change:**

The Appeals E3210 testers will:

- Use the CDI *Transmittal Database* to generate transmittals (E3210s) for all cases and case related items they transmit both within their local office (if applicable) and to another Appeals Office or an IRS office.
- Systemically acknowledge receipt of any E3210 they receive using the CDI *Transmittal Database*.
- Systemically “self-acknowledge” all E3210s receipted and returned to them via mail, fax, or EEFax during the test period.

All other Appeals and IRS employees who are not participating in the Appeals E3210 test will continue to use their current Form 3210, *Document Transmittal*, creation, retention, monitoring, and receipt acknowledgement process.

The Appeals E3210 testers will follow the procedures provided in the Attachments listed below:

- Attachment #1 *Transmittal Database Step by Step Process to Initiate an E3210*
- Attachment #2 *Transmittal Database Step by Step Process for E3210 Status/Actions*

**Effect on Other Documents:** The Appeals E3210 test results will be used to determine if Appeals will adopt the SB/SE CDI Transmittal Database for creating all “Appeals-initiated” Form 3210, *Document Transmittals (E3210)* and phase out the use of Form 3210 paper copies, suspense copies, receipt copies, as well as the physical retention and manual purge process. This IG will not be incorporated into the affected IRM.

**Effective Date:** July 1, 2017

**Contact:** Appeals personnel should elevate any question through the appropriate management chain.

Attachment(s):

1. *Transmittal Database Step by Step Process to Initiate an E3210*
2. *Transmittal Database Step by Step Process for E3210 Status/Actions*

cc: [www.irs.gov](http://www.irs.gov)

***Transmittal Database Step By Step Process to Initiate an E3210***

| STEP                       | ACTION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | NOTES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
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| 1.                         | Access the CDI <i>Transmittal Database</i> using the hyperlink to the <b>production</b> site.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <b>DO NOT USE</b> the [DSTEST] link to the practice site.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2.<br><i>One Time Only</i> | <p>Step 2 is only required the first time you access the production site.</p> <p>a) Click on the <b>My Profile</b> menu option and a blank <b>User Info</b> template will open with your SEID auto-populated in the SEID field.</p> <p>b) Complete the following fields with your information. This will be the information that auto-populates on each E3210 you initiate as well as each E3210 you acknowledge within the <i>Transmittal Database</i>:</p> <ol style="list-style-type: none"> <li>1. <b>First Name</b></li> <li>2. <b>Middle Initial</b> (leave blank if none)</li> <li>3. <b>Last Name</b></li> <li>4. <b>User Title</b><sup>1</sup></li> <li>5. <b>Street Address</b></li> <li>6. <b>Mail Stop</b></li> <li>7. <b>Phone Number</b><sup>2</sup></li> <li>8. <b>State</b></li> <li>9. <b>Zip Code</b></li> </ol> <p>c) Review the information you entered.</p> <ol style="list-style-type: none"> <li>1. Correct any error.</li> </ol> <p>d) Double-click <b>OK</b> to save and close the screen.</p> <p>The Transmittal Database Profile data you enter will auto-populate on every E3210 you generate <b>and</b> on every E3210 you acknowledge within the <i>Transmittal Database</i>.</p> <p><b>To Edit Your Transmittal Database Profile:</b></p> <ol style="list-style-type: none"> <li>1. Click on <b>My Profile</b>.</li> <li>2. Click on the profile field you want to change.</li> <li>3. Enter the correct information.</li> <li>4. Review the information to verify accuracy.</li> <li>5. Click <b>OK</b> to save and close the screen.</li> </ol> | <p>When SB/SE CDI activates you as a <i>Transmittal Database</i> production site user, your SEID is associated with SharePoint.</p> <p>Whenever you access the database from your computer, the <i>Transmittal Database</i> will recognize you.</p> <p><sup>1</sup><b>User Title</b> – If you want your E3210s to reflect your AP Organizational Mailbox (OMB), enter your OMB in place of your Job Title</p> <p><sup>2</sup><b>Phone Number</b> – If you want E3210 Acknowledgements returned to you via EEFax, enter your <b>EEFax Number</b> in place of your Phone Number</p> <p>Refer to <b><i>Transmittal Database Lesson 2</i></b></p> |

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| 3. | <p><b>To Initiate a new E3210:</b></p> <p>a) Always <b>Search</b> for the intended recipient using one or more of the options below:</p> <ol style="list-style-type: none"> <li>1. <b>Agency</b></li> <li>2. <b>Distribution ID</b></li> <li>3. <b>Care Of Name</b></li> <li>4. <b>State and City</b> (Use an * to search for all Cities in a State.)</li> </ol> <p>b) Click on the <b>Retrieve Data</b> button.</p> <p>c) List defaults to all records in <b>ID Number</b> order.</p> <p>d) If there are more than 20 items, <b>1-20 ►</b> will display on the top right of the list. Click on the ► to advance to the next page or ◀ to return to the previous page.</p>        | <p>Select the search criteria (1 – 4) from the drop down menu.</p> <p>If you search by <b>State</b> you must also add the <b>City</b> to the search query.</p> <p>Select the <b>City</b>, or you can use the * to search for all Cities in a State.</p> <p>Use <b>Column Filtering</b> to further refine the City list.</p> <p>Refer to <i><b>Transmittal Database Lesson 3</b></i></p>                                 |
| 4. | <p>a) If your <b>Search</b> returned the <b>Distribution List Item</b> you want to use as the <b>Recipient</b> for the E3210, then the <b>Distribution ID</b> and profile information will appear on the screen with a double-headed arrow ⇄ to the left of the <b>Distribution ID #</b> (NNN). Go to <b>Step 6</b>.</p> <p>b) If your <b>Search</b> returned No Results, you must create a <b>new Distribution Item</b> for your intended recipient. Go to <b>Step 5</b>.</p>                                                                                                                                                                                                    | <p>The ⇄ is the action icon used to open a new transmittal for the <b>Distribution ID</b>, or to open the <b>Document Transmittal ID</b> described in Attachment #2 Step 7.</p> <p>Refer to <i><b>Transmittal Database Lesson 4</b></i></p>                                                                                                                                                                             |
| 5. | <p><b>To Create a New Distribution Item (recipient):</b></p> <p>a) Click <b>Actions</b>.</p> <p>b) Select <b>New Distribution</b>.</p> <p>c) Complete the <b>new Distribution Item</b> fields:</p> <ol style="list-style-type: none"> <li>1) <b>Agency Name &amp; Office City</b></li> <li>2) <b>Care of Name</b> (AP Org, Area and TM)</li> <li>3) <b>Street Address</b></li> <li>4) <b>Street Address 2</b> (Mail Stop)</li> <li>5) <b>City</b></li> <li>6) <b>State</b></li> <li>7) <b>Zip Code</b></li> </ol> <p>d) Click <b>OK</b> to save and close the screen<sup>3</sup>.</p> <p>e) Search for the <b>new Distribution Item</b> using process in <b>Step 3</b> above.</p> | <p><b>New Distribution Item Example:</b></p> <ol style="list-style-type: none"> <li>1) IRS Appeals Ogden</li> <li>2) SPR Area 10 Team 6</li> <li>3) 20 Wall St. Ste. 200</li> <li>4) MS OGD8000</li> <li>5) Ogden</li> <li>6) Utah</li> <li>7) 12345-6789</li> </ol> <p><sup>3</sup>A New <b>Distribution ID</b> generates for the entered information.</p> <p>Refer to <i><b>Transmittal Database Lesson 3</b></i></p> |

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| 6. | <p><b>Edit Option for a new Distribution ID:</b></p> <ul style="list-style-type: none"> <li>a) Until the <b>Distribution ID</b> is used to create a transmittal (E3210), the <b>Edit</b> option will be <b>YES</b> and you can change the <b>Distribution Item</b> data fields as needed.</li> <li>b) After a <b>Distribution ID</b> is used to create a transmittal (E3210), then the <b>Edit</b> option is <b>NO</b> and the <b>Distribution ID</b> information cannot be altered.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <p><b>Distribution Item</b> - term used to describe the Recipient information.<br/> <b>Distribution ID</b> - term used to describe the unique number assigned by Transmittal Database when a user creates a <b>New Distribution Item</b> and clicks <b>OK</b>.<br/> Refer to <i><b>Transmittal Database Lesson 3</b></i></p>                                                                                                                                                                                                                                                                                                           |
| 7. | <p><b>To Create a Transmittal:</b></p> <ul style="list-style-type: none"> <li>a) Click on the ↔ (double-headed arrow) to the left of the <b>Distribution ID</b> to select the intended recipient.</li> <li>b) Click <b>New Transmittal</b>.</li> <li>c) The Transmittal screen will open.</li> <li>d) <b>To:</b> is auto-populated with the <b>Distribution List</b> information for the intended recipient.</li> <li>e) <b>From/Releasing Official:</b> is auto-populated with your <b>Profile</b> information.</li> <li>f) <b>Remarks:</b> This field is empty and fillable. Initiator can add remarks as needed.<sup>4</sup></li> <li>g) Click <b>'Insert Item'</b> to add Transmittal Details: <ul style="list-style-type: none"> <li>1. Qty:</li> <li>2. Doc. Code: (MFT and ACDS Case TYPE)</li> <li>3. TIN:</li> <li>4. Name Control:</li> <li>5. Tax Year: (Earliest ASER or Tax Period)</li> <li>6. Comments: (WUNO, DKTNO, TXPDS)</li> <li>7. Earliest Statute:</li> </ul> </li> <li>h) Click on <b>Insert Item</b> to add additional line items (tax period and/or taxpayer's) to the transmittal.</li> <li>i) <b>Release Date:</b> auto-populates the date.</li> <li>j) <b>Received and Verified</b> fields are blank until the E3210 is acknowledged.</li> <li>k) Click <b>OK</b> to generate E3210.</li> <li>l) <b>Document Transmittal Number:</b> is auto-populated when initiator clicks <b>OK</b>.</li> <li>m) In <b>My Transmittals</b>, click the ↔ to activate the print option. Print and affix 1 copy to a paper case(s).</li> <li>n) See <i><b>Attachment # 2</b></i> for the <i><b>Step By Step Process Chart for E3210 Status/Actions</b></i>.</li> </ul> | <p><sup>4</sup> <b><u>Appeals Procedure:</u></b><br/> Always enter the following in <b>Remarks:</b><br/> "Please Acknowledge Receipt within 10 business days via EEFax [enter your EEFax number]."</p> <p><b><u>Example:</u></b></p> <ol style="list-style-type: none"> <li>1. 1</li> <li>2. 30 I</li> <li>3. 111-22-3333</li> <li>4. ABCD</li> <li>5. 201212</li> <li>6. 1234567890<br/>12345-17<br/>201212, 201312</li> <li>7. DOCKT</li> </ol> <p><b>Note:</b> When the E3210 generates, the TIN is masked and only the last 4 digits print.</p> <p>Refer to <i><b>Transmittal Database Lesson 4, Lesson 5 and Lesson 6</b></i></p> |

***Transmittal Database Step By Step Process For E3210 Status/Actions***

| STEP | STATUS/ACTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | NOTES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
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| 1.   | <p><b><u>My Transmittal<sup>1</sup>:</u></b></p> <p>The uniquely numbered E3210 created in Step #7 of Attachment #1, is active and searchable from <b>My Transmittal</b>.</p> <p><b><u>Select the Search Criteria ▼</u></b></p> <ul style="list-style-type: none"> <li>• <b>Created By SEID</b></li> <li>• <b>Document Transmittal Number (DTN)</b></li> <li>• <b>Receive Date</b></li> <li>• <b>Receiving Official Name</b></li> <li>• <b>Release Date</b></li> <li>• <b>Remarks</b></li> </ul> <p><b><u>Select the Search Parameter ▼</u></b></p> <ul style="list-style-type: none"> <li>• <b>Contains</b></li> <li>• <b>Is equal to</b></li> <li>• <b>Starts with</b></li> <li>• <b>Ends with</b></li> </ul> <p><b><u>Enter the Search Detail<sup>2</sup>:</u></b></p> <ul style="list-style-type: none"> <li>• Click <b>Add</b> to provide additional <b>Search Criteria</b> (optional).</li> <li>• Click <b>Retrieve Data</b></li> </ul> <p><b><u>Search Results</u></b> are listed by <b>DTN</b>:</p> <p>a) Click the <b>DTN</b> hyperlink to <b>open</b> the <b>Transmittal Details</b>:</p> <ul style="list-style-type: none"> <li>• <b>View/Review</b></li> <li>• <b>Edit</b> (if not closed)</li> <li>• <b>Acknowledge</b> (if not closed)</li> </ul> <p>b) Click the double-headed ↔ to the left of the <b>DTN</b> hyperlink to open the <b>Transmittal Actions</b>:</p> <ul style="list-style-type: none"> <li>• <b>3210 Acknowledgement</b></li> <li>• <b>3210 Recipient</b></li> <li>• <b>Forward (Reuse)</b></li> <li>• <b>Print</b></li> <li>• <b>Import from Excel</b></li> </ul> | <p><sup>1</sup><b>My Transmittal</b> is used to view/access or take action on any transmittal you've created:</p> <ul style="list-style-type: none"> <li>• Unacknowledged (<b>Active</b>)</li> <li>• Acknowledged (<b>Inactive</b>)</li> </ul> <p><b>Transmittal Action Options:</b></p> <ul style="list-style-type: none"> <li>• <b>Acknowledge</b></li> <li>• <b>Edit</b></li> <li>• <b>Forward/Reuse</b></li> <li>• <b>Import From Excel</b></li> <li>• <b>Print</b></li> </ul> <p><sup>2</sup>Adding additional search criteria, does not decrease the results displayed but increases them because the transmittal database does not assign a hierarchy to the Search Terms. Use <b>Column Filtering</b> to refine your search.</p> <p>Refer to <b>Transmittal Database Lesson 5 and Lesson 9</b></p> |

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| 2. | <p><b><u>Import From Excel:</u></b></p> <ul style="list-style-type: none"> <li>a) Create <b>New Transmittal</b>.</li> <li>b) Populate the Excel Spreadsheet (AWR-507<sup>3</sup>).</li> <li>c) Copy data from Excel no headers.</li> <li>d) Click <b>Import from Excel</b>.</li> <li>e) In Datasheet, paste the Excel Data.</li> <li>f) Click <b>My Transmittals</b> and select the <b>DTN</b> created in a) above.</li> <li>g) Click <b>Import from Excel</b> under <b>Actions</b>.</li> <li>h) Click <b>OK</b> to save the data.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <p><sup>3</sup>AWR-507, when deployed (date to be determined), will allow multiple WUNOs from ACDS to be exported to an Excel spreadsheet for import into the Transmittal Database.</p> <p>Refer to <i><b>Transmittal Database Lesson 6</b></i></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 3. | <p><b><u>Transmittal Database User E3210 Receipt and Acknowledgement:</u></b></p> <p><b>With the transmittal open on the screen:</b></p> <ul style="list-style-type: none"> <li>a) Enter <b>Remarks</b><sup>4</sup> if needed.</li> <li>b) Add <b>Comments</b> for each E3210 list item if needed or leave blank.</li> <li>c) Click the <b>Rcvd</b> <input type="checkbox"/> for each E3210 list item to verify receipt.</li> <li>d) Click <b>Acknowledgement</b><sup>5</sup>.</li> </ul> <p>Until the Service fully transitions to using the <i>Transmittal Database</i>, active users must follow additional steps to record and acknowledge their own E3210 or an E3210 for another user.</p> <ul style="list-style-type: none"> <li>• Step 3a when the recipient returns the E3210 acknowledgement by <b>mail</b>.</li> <li>• Step 3b when the recipient returns the E3210 acknowledgement by <b>fax</b>.</li> <li>• Step 3c when the recipient returns the E3210 acknowledgement by <b>EEFax</b>.</li> </ul> | <p><sup>4</sup><b><u>Example of Remarks:</u></b></p> <ul style="list-style-type: none"> <li>• “EEFax received 3/22/17”</li> <li>• This remark identifies which EEFax Folder includes the E3210 EEFax Acknowledgement e.g. <i>March 2017</i>.</li> </ul> <p><sup>5</sup><b><u>Acknowledgement:</u></b></p> <ul style="list-style-type: none"> <li>• Auto-populates your Name Title and the Current Date in the Received and Verified section.</li> <li>• Once Acknowledged, the E3210 cannot be edited but can be reused.</li> <li>• The <b>Acknowledged</b> E3210 is <b>Retained</b> in the <i>Transmittal Database</i> for 12 months from the <b>Received and Verified Date</b>.</li> </ul> <p>Refer to <i><b>Transmittal Database Lesson 8</b></i></p> |

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| 3a. | <p><b><u>E3210 Acknowledgements Received by Mail:</u></b></p> <ol style="list-style-type: none"> <li>1. <b>Receive</b> Acknowledged E3210 in the mail and <b>fax</b> the paper copy to the EEFax number.</li> <li>2. <b>Verify</b> the EEFax is received, then <b>shred</b> the paper copy.</li> <li>3. <b>Acknowledge</b> the E3210 in the <i>Transmittal Database</i><sup>5</sup>.</li> <li>4. <b>File</b> EEFax acknowledgement sent in Step 1 above, in the EEFax folder based on the received date<sup>6</sup>.</li> <li>5. <b>Purge/Delete</b> EEFax folder as needed.</li> </ol> | <p><b>E3210 Acknowledgement Replaces Form 3210 Paper Processes:</b></p> <ul style="list-style-type: none"> <li>• <b>Locate</b> and <b>remove</b> the “suspended” paper copy of Form 3210 in the Form 3210 Monitor File.</li> <li>• <b>Replace</b> “suspended” copy of Form 3210 with “acknowledged” copy of Form 3210.</li> <li>• <b>Shred</b> “suspended” copy.</li> <li>• <b>Maintain</b> all acknowledged Form 3210s for 1-year retention period.</li> <li>• <b>Purge</b> and <b>shred</b> retained Form 3210s after 1-year retention period.</li> </ul> <p><sup>6</sup> <b>Examples:</b><br/>March 2017<br/>April 2017</p> <p>Refer to <i>Transmittal Database Lesson 8</i></p> |
| 3b. | <p><b><u>E3210 Acknowledgements Received by Fax:</u></b></p> <ol style="list-style-type: none"> <li>1. <b>Receive</b> Acknowledged E3210 via fax and <b>fax</b> the paper copy to the EEFax number.</li> <li>2. <b>Verify</b> the EEFax is received, then shred the paper copy.</li> <li>3. <b>Acknowledge</b> the E3210 in the <i>Transmittal Database</i><sup>5</sup>.</li> <li>4. <b>File</b> EEFax acknowledgement sent in Step 1 above, in the EEFax folder based on the received date<sup>6</sup>.</li> <li>5. <b>Purge/Delete</b> EEFax folder as needed.</li> </ol>             | <p><b>E3210 Acknowledgement Replaces Form 3210 Paper Processes:</b></p> <p><b>Same as 3a above.</b></p> <p><sup>6</sup> <b>Examples:</b><br/>March 2017<br/>April 2017</p> <p>Refer to <i>Transmittal Database Lesson 8</i></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                     |

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| 3c. | <p><b><u>E3210 Acknowledgements Received by EEFax:</u></b></p> <ol style="list-style-type: none"><li>1. <b>Acknowledge</b> the E3210 in the <i>Transmittal Database</i><sup>5</sup>.</li><li>2. <b>File</b> EEFax acknowledgement sent in Step 1 above, in the EEFax folder based on the received date<sup>6</sup>.</li><li>3. <b>Purge/Delete</b> EEFax folder as needed.</li></ol> | <p><b>E3210 Acknowledgement Replaces Form 3210 Paper Process Steps:</b></p> <p><b>Same as 3a above.</b></p> <p><sup>6</sup> <b>Examples:</b><br/>March 2017<br/>April 2017</p> <p>Refer to <i>Transmittal Database Lesson 8</i></p> |
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