

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
		JOB NUMBER N1-058-07-12	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		DATE RECEIVED 6/2/07	
1 FROM (Agency or establishment) Department of the Treasury		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Internal Revenue Service Human Capital Office		In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Workforce Relations Division Employee Conduct and Compliance Office Employee Tax Compliance Branch			
4 NAME OF PERSON WITH WHOM TO CONFER Tracee Taylor Daniel W Bennett	5 TELEPHONE 202-283-9291 202-283-9359	DATE 11/6/07	ARCHIVIST OF THE UNITED STATES <i>Alta L. ...</i>
5 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>2</u> pages(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE June 27, 2007	SIGNATURE OF AGENCY REPRESENTATIVE <i>Daniel W Bennett</i> Daniel W Bennett IRS Records Officer		TITLE IRS Records Officer National Office, OS A RE SC Washington, DC 20224
7 ITEM NO	8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	RCS 1.15.20 for Administration/Organization Support Operational Records Future Updates: * Item 117, Reserved for New Hire Tax Liability Check System (TAXCK) <u>New Item 118, Employee Tax Compliance (ETC) System</u> (see attached)		
<i>SA # 11/13/07 copies sent to Agency, NWML, NR</i>			

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IRM 1.15.20, New Item 118
Employee Tax Compliance (ETC) System

Background:

The mission of the Workforce Relations Division is to establish IRS labor and employee relations policy and to provide related support and expertise to Service management and employees. The Employee Conduct and Compliance Office provides a centralized structure and forum for addressing concerns about employee conduct. They ensure that all allegations are addressed appropriately, in a fair and consistent manner, and that corrective actions are taken when necessary. The Employee Tax Compliance Branch within this Office administers the program identifying IRS employee potential tax non-compliance issues, including the timely and correct filing and payment of all federal tax liabilities.

The Employee Tax Compliance Project involves the annual identification of IRS employees who have failed various compliance checks related to non-filing or late filing of returns or non-payment of taxes. ETC was established in 1995, and processes approximately 10,000 cases annually. Users may add, update, query, close, and maintain cases depending on their user access levels.

Records are extracted three times per year to a client-server application where they are screened for employee non-compliance tax issues. When the case is referred to an employee's manager or there is an advisory issued for the employee, a record is downloaded to the Automated Labor and Employee Tracking System (ALERTS), which is scheduled under IRM 1.15.38 (or GRS 1), Item 28.

Description:

ETC System is used to manage IRS employee potential tax non-compliance case inventory.

a. Inputs:

Includes IRS employee data electronically received from TAPS (Totally Automated Personnel System), TIMIS (Treasury Integrated Management Information System, data derived from National Finance Center), and IMF (Individual Master Files)

Disposition. Recordkeeping copies of this data are appropriately scheduled under other authorities for TAPS, TIMIS, and IMF.

b. System Data:

Maintains data relevant to those IRS employees under investigation for possible non-compliance with IRS employee tax filing requirements. Data includes employee name, address, DOB, job series and grade, SSN, and tax owed. It also includes information about the IRS employees working the ETC cases, their comments and/or case description, as well as audit trails that identify and monitor the administrative actions within the system. When the case is referred to an employee's manager or

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there is an advisory issued for the employee, a record is downloaded to the Automated Labor and Employee Tracking System (ALERTS).

Disposition Temporary. Cut off after final resolution of case
Delete by degauzing or purging system of case 5 years after cutoff

c. Outputs:

Includes pre-formatted and customized reports, such as statistical reports, summaries or detailed listings for open and closed cases, and cases posted to ALERTS.

Disposition: Temporary. Delete/destroy when 3 years old or when no longer needed for administrative, legal, audit or other operational purposes whichever is sooner.

d. System Documentation:

User manuals, Functional Specification Package

Disposition. Temporary. Delete/destroy when superseded or obsolete.