

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER N1-058-09- 64	
1. FROM (Agency or establishment) Department of the Treasury		DATE RECEIVED 7/29/09	
2. MAJOR SUBDIVISION Internal Revenue Service		NOTIFICATION TO AGENCY 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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10.	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 Agency Wide Shared Services, Human Capital Office, Labor Relations Strategic Policy			
4. NAME OF PERSON WITH WHOM TO CONFER Daniel W. Bennett, IRS Records Officer Frances E. Mahoney Nicole L. Myers	5. TELEPHONE 202-435-6337 720-956-4336 202-622-4935	DATE 11-9-09	ARCHIVIST OF THE UNITED STATES <i>Adrienne C. Thomas</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>3</u> pages(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, [redacted] is not required; [redacted] is attached; or [redacted] has been requested.			
DATE 7/29/2009	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</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 GRS OR SUPERSEDED JOB CITATION	10.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)
	<p>RCS 1.15.20 for Records Control Schedule for Administration/Organization Support Operational Records</p> <p>Future Updates:</p> <ul style="list-style-type: none"> Adds new Item 182 for Engagement Strategy Tracker (ES Tracker) Survey System <p>Item 182 Engagement Strategy Tracker (ES Tracker) Survey System</p> <p>Sub-Items</p> <ul style="list-style-type: none"> a. Inputs b. Outputs c. Data d. Systems Documentation <p>RCS 1.15.35 Records Control Schedule for Tax Administration – Systems (Electronic)</p> <p>a.) Add new pointer to Item 182 in RCS 1.15.20</p> <p>The records are owned by Agency Wide Shared Services, Human Capital Office, Labor Relations Strategic Policy Office.</p> <p>See the attached</p>		

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Background:

The National Defense Authorization Act for Fiscal Year 2004 (Public Law 108-136, November 24, 2003, 117 STAT. 1641), Congress established a requirement for agencies to conduct an annual survey of their employees to assess employee satisfaction as well as leadership and management practices that contribute to agency performance.

As required by the National Defense Authorization Act, the Office of Personnel Management (OPM) issued final regulations implementing mandatory employee surveys on Thursday, August 24, 2006, as subpart C, Employee Surveys, of 5 CFR Part 250, Personnel Management in Agencies. The final regulations, which are effective as of January 1, 2007, prescribe approx 45 survey questions that must appear on each agency's employee survey. These items constitute the Annual Employee Survey, which agencies must conduct and report annually. Agencies are permitted to add additional questions as required in support of their unique mission and functional areas. The results of the survey can impact Government-wide human resources policy and agency-specific initiatives.

The Internal Revenue Service (IRS) fully complies with Office of Personnel Management (OPM) guidance and annually conducts an Employee Engagement Survey. This Survey has also been referred to as the "Sirota" Survey. The "Sirota" Survey is administered throughout the entire IRS organization by an outside contractor on a yearly basis. IRS employees can complete the survey via the Sirota secure web site or Sirota Toll-Free telephone. This survey contains the original 45 questions required by OPM, but may be supplemented with additional questions by the IRS Commissioners, Business Units, etc. Sirota Company submits approx 14K Annual Survey Reports and Results in both email and hardcopy to IRS Leadership and Management for their review and disposition.

The IRS defines employee engagement as the degree of employees' motivation, commitment, and involvement in the mission of the organization. Employee satisfaction is a key component of employee engagement, and is measured once a year through the Service-wide employee survey. Engagement is different from employee satisfaction in that employee engagement encompasses more than a once-a-year survey. It is a yearlong effort incumbent on all employees, at all organizational levels. The IRS considers employee engagement fundamental to the overall success of the organization, and believes that employee engagement is an ongoing process.

In IRS, every manager has a responsibility to encourage their team members to actively and honestly participate in the Annual Employee Survey process. Managers must also schedule a meeting with a facilitator, when possible, and invite NTEU representatives to that meeting. An action plan should be created and those issues need to be charted on the ES Tracker website (<http://estracker.no.irs.gov>), which is updated and maintained as necessary throughout the year.

Engagement Strategy Tracker (ES Tracker) is a Web-based application that provides for recording and tracking action plans to resolve Employee Engagement issues raised during branch, division or staff meetings. ES Tracker is an essential component

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of the Servicewide Employee Engagement Program which sponsors the Annual Employee Survey. Workgroup successes, issues, and identified barriers to success can be tracked, commented on, updated, elevated, resolved, and shared; the process of which is made simple through the use of this User Guide or documentation, but is dependent upon the active involvement of employees in the group.

Engagement Strategy Tracker Survey System (ES Tracker)

NEW

Description:

Engagement Strategy Tracker Survey System (ES Tracker) is a Web-based application that provides for recording and tracking action plans to resolve Employee Engagement issues raised during branch, division or staff meetings. ES Tracker is an essential component of the Servicewide Employee Engagement Program which sponsors the Annual Employee Survey. Workgroup successes, issues, and identified barriers to success can be tracked, commented on, updated, elevated, resolved, and shared; the process of which is made simple through the use of this User Guide or documentation, but is dependent upon the active involvement of employees in the group.

A. Inputs:

Inputs to the Engagement Strategy Tracker Survey System (ES Tracker) are manual. Employees and Managers Register within ES Tracker. The Discovery Directory pre-populates the Registration Screen with the employee and organizational information. The Treasury Integrated Management Information System (TIMIS) provides additional Workgroup information to complete the registration process. Employees are able to manually input information in ES Tracker on meetings, issues, private group notes, action plans, and elevated issues. All IRS Employees are invited to participate in the Annual Employee Survey and use ES Tracker:

Disposition: TEMPORARY. Delete/destroy cache files after successful entry and verification into the system.

B. System Data:

System Data in the Engagement Strategy Tracker Survey System (ES Tracker) includes, but is not limited to, Registered Users, Workgroup Members, Workgroup Employee Name, Workgroup Code, Employee Name, Employee Email, Manager Name, Manager Email, User Role, Organization Hierarchy, Location (Building Name, Street Address, City, State, Zip Code), Post-of-Duty Code, Bargaining Unit Issues, Meetings, Action Plans, and multiple Reports (e.g. General, User, Special Requests, and Ad Hoc).

Disposition: TEMPORARY. Cut off at end of fiscal year. Delete/Destroy 10 years after cutoff.

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<p>hat115-109</p>	<p>C. Outputs:</p> <p>Outputs to the Engagement Strategy Tracker Survey System (ES Tracker) consist of recorded actions and tracking elements for multiple survey years. This allows historical data to be captured for trend analysis studies. It also allows open issues from the prior year to be accessed so that the Workgroup may resolve them. Prior year issues can be closed and reopened as current issues. Each survey year has separate Issues, General Reports, Meetings, Action Plans, and User Reports. Information can be added and deleted to ES Tracker System. ES Tracker generates email to Managers, if Issues have not been updated within 90 days; and within 7 days of an Issue becoming Red. ES Tracker generated Reports can be divided into the following categories: General, User, Special Requests, and Ad Hoc. All employees have access to these reports. ES Tracker produces a numerous output types in the form of Reports and Data in both hardcopy and email. Much of this information is disseminated to all Managers in IRS for each of their Work Group use. Other Reports are provided to the Human Capital Office and to IRS Leadership.</p> <p>1. Management Plans, Issue Records, and Resolution Data</p> <p><i>Disposition: TEMPORARY. Cut off at the end of the fiscal year. Delete/Destroy 1 year after cutoff.</i></p> <p>2. Survey Reports</p> <p><i>Disposition: TEMPORARY. Cut off at the end of the fiscal year. Delete/Destroy 4 years after cutoff.</i></p> <p>3. Sirota Contract Reports</p> <p><i>Disposition: TEMPORARY. Cut off at the end of the fiscal year. Delete/Destroy 4 years after cutoff.</i></p> <p>D. System Documentation</p> <p>System Documentation for the Engagement Strategy Tracker Survey System (ES Tracker) consists of codebooks, records layout, user guide, and other related materials.</p> <p><i>Disposition: TEMPORARY. Delete/destroy when superseded or 5 years after the system is terminated, whichever is sooner.</i></p>	<p>Exception to GRS 20.11(a)</p>	

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NSN 7450-00-634-4064
 PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
 Prescribed by NARA
 36 CFR 1228