

Date of Approval: 03/14/2025
Questionnaire Number: 2072

Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

IRS Exit Survey

Business Unit

Human Capital Office

Preparer

For Official Use Only

Subject Matter Expert

For Official Use Only

Program Manager

For Official Use Only

Designated Executive Representative

For Official Use Only

Executive Sponsor

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

The goal of the IRS Exit Survey is to supplement the Treasury Exit Survey, preserving consistency while increasing responses, data integrity, and adaptability. This action was prompted by recent recommendations from Treasury which included a review of Exit Survey data to aid in achieving IRS Talent Management goals. In our review, the Engagement & Retention office (E&R) found that use of the Treasury Exit Survey alone was not sufficient to accurately assess IRS impact on employee retention. Data from the IRS Exit Survey will be directly accessible by the IRS Office of Engagement & Retention and the It will also be shared with and analyzed by the National Treasury Employees' Union, the IRS Office of Research, Applied Analytics and Statistics, HCO Office of Human Capital Data Management and Technology (HCDMT), and other requesting IRS offices working to improve IRS employee retention. Reports will be provided to requestors in IRS Business Operating Divisions (BODs), and contractors working on their behalf for the objective of improving the IRS employee retention. The

objective of all analysis will be to target issues important to IRS employees to improve employee retention.

Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?

Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).

Employment and demographic data is reviewed for all separating employees invited to participate in the survey, and aggregate totals are compared with the sample who chose to participate. This is done to determine if survey participants make up a representative sample of the population. We will instruct the vendor to destroy the survey responses one year after the conclusion of the survey/period of performance, whichever is later. GRS 5.8 Item 010-Technical and administrative help desk operational records. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Email Address

Employment Information

Name

Standard Employee Identifier (SEID)

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

PII for personnel administration - 5 USC

Product Information (Questions)

1 Is this survey a result of the Inflation Reduction Act (IRA)?

No

2 What is your research method(s) used (i.e., survey, telephone interview, focus group or usability testing)?

Survey

3 Is this a new survey, telephone interview, focus group, or usability test? Throughout the rest of this questionnaire, we will use the term "survey" to include all of these.

No

3.1 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this project?

Yes

3.11 Enter the full name of the most recent PCLIA.

IRS Exit Survey - SU8061

3.12 Enter the PCLIA number of the most recent PCLIA.

8061

3.2 What are the reasons for the change?

Contractor Change from Medallia to Qualtrics - No change to the survey!

4 Which Business Unit (BU) is requesting this survey?

Human Capital Office

5 Who will the survey be administered to?

Internal (IRS employee/executive/manager)

6 Is this a reoccurring survey?

Yes

6.1 Will the survey be administered annually (3-year expiration)?

Yes

6.11 Will this survey be administered for one year with multiple events (1-year expiration)?

No

7 What is the start date?

It's already on going since 2022. With this new platform, we plan to start 3/24/2025.

8 What is the end date?

2-24-2028

9 Will PII be used to select or contact survey participants or administer the survey?

Yes

10 Explain how the participants are selected. Include a detailed description. Please provide your research plan as supporting documentation.

Employment data is reviewed for all separating employees and invited to participate in the Exit Survey. The aggregate totals are compared with the sample who chose to participate. This is done to determine if survey participants make up a representative sample of the population.

11 Describe the SBU/PII data, if applicable, that is collected, disclosed, or studied on individuals who choose not to participate.

We do not collect or utilize data for individuals who choose not to participate in the Exit Survey. Their information will not be captured or included in any analysis or report.

12 Explain how participants are notified of the survey (letter, postcard, email, etc.); indicate if the notice lets them know the survey is voluntary/optional; indicate if the privacy act notice was included; lastly, if your survey is not voluntary, explain why it is mandatory.

Participants will be sent an email with a unique survey link, asking them to take the survey. They then have the option to voluntarily participate in the survey.

13 What tool(s) is/are used to conduct the survey? Please explain how you ensure anonymity of the participants.

It is an online application from Qualtrics. The survey is an anonymous survey with a unique link. The process to block participants from taking the survey more than once is automated. The survey results are only accessible to administrators, who then review the aggregate reports before releasing to ensure they cannot be used to identify participants.

14 Will the survey be audio-recorded or video-recorded?

No

14.1 Where will your recorded session be stored? (Both audio and video.)

No

14.2 Provide the consent-to-record method and statement. (Upload may be required in the Attachments section.)

No

15 Do participants provide information about themselves? The Privacy Act of 1974 (5 USC § 552a(e)(3)) requires each agency that maintains a system of records to inform each individual requested to supply information.

Yes

15.1 Please provide the Privacy Act Statement.

Privacy Act Statement: Collection of this information is authorized by 5 United States Code (U.S.C.) 1101 note, 1103(a)(5), 1104, 1302, 3301, 3302, 4702, 7701 note Executive Order (E.O.) 13197, 66 Federal Register (FR) 7853, 3 Code of Federal Regulations (CFR) 748 (2002); E.O. 10577, 12FR 1259, 3 CFR, 1954-1958 Comp. p. 218. * Your responses to this survey are voluntary and there is no penalty if you choose not to respond fully or in part. However, maximum participation is encouraged so that the data will be complete and representative. * The information will be used to study and report attitudes and perceptions about the current climate and develop policies that will assist in the formulation of policies which may be needed to improve the working environment. The information you provide will be closed to a contractor where it will be analyzed. * Access to completed surveys will be to Qualtrics staff and Internal Revenue Service (IRS) administrators who are involved in collecting or preparing the information for analysis except when other disclosures are required by applicable law such as to the Office of Personnel Management (OPM) for proper administration of government personnel systems if OPM requests information or to the Government Accountability Office if it requests information needed for official business involving Congressional oversight. * In any public release of survey results, no data will be disclosed that could be used to identify specific individuals. * IRS will not receive data by subgroups that could be used to identify a specific individual or a person's specific response to a survey question.

16 Who administers (conducts) the survey? (IRS, Vendor or Both)

IRS

17 Who performs the analysis of the survey? (IRS, Vendor, or Both)

IRS

18 If a contractor administers (conducts) and analyzes the survey, is all work performed and contained in the United States?

No

19 How does the administrator of the survey protect employees' or taxpayers' SBU/PII from compromise, loss, theft, or disclosure?

Survey PII is stored within the Qualtrics FedRamp space (software used for administering surveys and analyzing survey data), never on a contractor's site or computers. The PII data is only accessible by designated administrators from IRS. There is a limited license access to the tool and generated reports are password protected. However, there will be no PII data shared to any Business Operating Division.

20 Provide the information technology (IT)-approved encryption methods and access controls used to transfer data electronically from the IRS to contractors and back to the IRS. (Or contractor to contractor/subcontractors.)

Participant data (e.g., an encrypted file containing the names of separating IRS employees, SEID, Employment Info, and corresponding IRS email addresses) will be uploaded to the Qualtrics Amazon Web Service (AWS) Fed Ramp space. Data and analysis will be downloaded directly from Qualtrics. Data transmitted electronically within IRS will be encrypted with password-protection features. IRS offices utilizing the Exit Survey data in support of employee engagement and retention program(s) will be given the data in an electronic manner.

21 Has a Contracting Officer or Contracting Officer's Representative (COR) verified the contract included privacy and security clauses for data protection and that all contractors have signed non-disclosure agreements which are on file with the COR?

Yes

22 Identify all IRS/Contractor roles and their access level to the PII data.

IRS Employees:

Users Read Write Low: Yes

Managers - Read-Only Low: Yes

Sys. Admin Read Write Moderate: Yes

Developers Read-Write Moderate: Yes

23 Explain the precautions taken, to ensure that employees or taxpayers who participate in the survey cannot be identified or re-identified under any circumstances.

The survey is an anonymous survey with a unique link. The process to block participants from taking the survey more than once is automated. The survey results are only accessible to administrators, who then review the aggregate reports before releasing to ensure they cannot be used to identify participants.

24 Explain the precautions taken to ensure no adverse actions can be taken against participants.

Survey results are used only for their intended purpose and destroyed according to the applicable records schedule. Access to results is limited to administrators with a business need. Participants are told not to place PII in the comment sections of the survey; however, if a participant explicitly identifies themselves or another person in their survey response, that response is removed from the data.

25 Explain how you have ensured that no "raw" or unaggregated employee or taxpayer data will be provided to any IRS office.

Access to completed surveys will be limited to administrators who are involved in collecting or preparing the information for analysis. Comment text provided by survey respondents as part of their survey response may be released verbatim only if it does not contain PII and is not associated with anything that could identify the respondent or other individuals (not raw data). For the quantitative data, the

administrators will not release any data that has less than 10 respondents (aggregated).

26 Does your survey use, maintain, collect, or display any records describing a participant's tax return information or income, deductions, credits, etc. that are covered by the individual's First Amendment rights.)

No

Interfaces

Interface Type

IRS or Treasury Contractor

Agency Name

HRConnect, PeopleTrak, Qualtrics

Incoming/Outgoing

Both

Transfer Method

Amazon Web Services Platform (AWS)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

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Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Technical and administrative help desk operational records GRS

5.8

What is the GRS/RCS Item Number?

010

What type of Records is this for?

Electronic

Please provide a brief description of the chosen GRS or RCS item.

customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports

What is the disposition schedule?

Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

Data Locations

What type of site is this?

Environment

What is the name of the Environment?

Qualtrics Amazon Web Service (AWS) Fed Ramp

What is the sensitivity of the Environment?

Sensitive But Unclassified (SBU)

What is the URL of the item, if applicable?

<https://irsresearch.gov1.qualtrics.com>

Please provide a brief description of the Environment.

Qualtrics survey platform

What are the incoming connections to this Environment?

Participants are provided a survey link through emails to respond and send back, which comes back to the Environment and can be viewed in the Data Analysis section.

What are the outgoing connections from this Environment?

Qualtrics send survey link through email to participants within the IRS.