

Survey PCLIA ID Number: 4014
Date of Approval: June 18, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

Employment Tax Customer Satisfaction Survey, SU-4014

Type of Survey:

Survey

Note: the remaining questions will be simplified to refer to *the Survey* but still apply to Telephone Interview or Focus Group. If Telephone Interview or Focus Group, a copy of Interview Questions or the Moderator's Guide will be requested by the Privacy Analyst.

Is this a new Survey?

No

Is there a PCLIA for this Survey?

Yes

Enter the full name, PCLIA ID and acronym of the most recent Survey PCLIA:

PCLIA ID Unknown, prior PIA done in paper form. Employment Tax Customer Satisfaction Survey

Enter the reference number (include SOI, OPC, TCBC or Other

SOI Control #BU-16-406

What is the approval date of the most recent Survey PCLIA?

3/23/2016 12:00:00 AM

Indicate the changes that require this update:

PCLIA Expired

Were there other changes not listed above?

No

Is this a reoccurring Survey?

Yes

List the schedule or requested operational date(s) of when the Survey will be administered.

April 2019-March 2022

Does this survey have an SOI (Statistics of Income) control number?

Yes

Enter the SOI Control Number:

BU-16-406

Does the Information Collection Request require OMB clearance?

Yes

What is the OMB Clearance number?

1545-2250

GENERAL BUSINESS PURPOSE

What is the general business purpose of this Survey? Provide a clear, concise description of the Survey, the reason for the Survey, and the benefits to the IRS mission.

The survey is conducted as part of the IRS agency-wide initiative to monitor and improve taxpayer satisfaction with the Employment Tax program. To ensure that the Employment Tax program is meeting the needs of the taxpayers, feedback from external customer satisfaction surveys is critical for assessing the customer's perception of our products and services. The survey is conducted on a monthly basis via mail. The Employment Tax Customer Satisfaction survey has three primary goals: 1) to survey external customers on an ongoing basis regarding their expectations of Employment Tax, 2) to track customer satisfaction, and 3) to identify operational improvements. The Employment Tax Program focuses on conducting examinations/audits of taxpayer and business compliance for reporting a variety of Employment tax liabilities using Forms 940, 941, 943, 945, CT-1 and CT-2. These audits are normally conducted face-to-face by Revenue Agents or Tax Compliance Officers with specialized expertise in Employment Tax matters. Because the history of customer satisfaction measurement in IRS has demonstrated the sensitivity of customer satisfaction outcomes to factors not directly related to service experience, survey results need to be combined with case-related data to make an accurate determination of customer satisfaction.

PII Details

Is Personally Identifiable Information (PII) used, collected, received, displayed, stored, maintained, or disseminated in the Survey; or is PII used to select participants? (i.e. names, addresses, email addresses, etc.)?

Yes

Please specify the types of PII:

Name

Mailing address

E-mail Address

Tax Account Information

Are there other types of PII collected in the Survey?

No

Is any PII data collected, disclosed, or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate?

No

PRIVACY ACT & SYSTEM OF RECORDS

Is there a System of Records Notice(s) or SORN(s) that addresses the PII records in this Survey?

Yes

Enter the SORN number(s) and the complete name of the SORN(s):

- IRS 00.001 Correspondence Files and Correspondence Control Files
- IRS 00.003 Taxpayer Advocate Service and Customer Feedback and Survey Records
- IRS 24.030 Customer Account Data Engine Individual Master File
- IRS 24.046 Customer Account Data Engine Business Master File
- IRS 26.019 Taxpayer Delinquent Account Files
- IRS 42.001 Examination Administrative Files

IRS 42.008 Audit Information Management System

IRS 42.021 Compliance Programs and Projects Files

PRIVACY ACT NOTICE

Based on the information you have provided, does the Survey require a Privacy Act Notice to be provided to the participants?

Yes

Please provide the Privacy Act Statement:

Our authority for requesting information with this survey is 5 U.S.C. § 301, and 26 U.S.C. §§ 7801, 7803, and 7805. The information you provide will help us determine steps to improve our programs. Providing the information is voluntary; not answering some or all of the questions will not affect you. The information we collect may be disclosed as authorized by the routine uses published for the Privacy Act System of Records entitled Treasury/Internal Revenue Service (IRS) 00.001 Correspondence Files and Correspondence Control Files, as published in the Federal Register: September 8, 2015 (Volume 80, Number 173) pages 54065-6. Before we conduct or sponsor a request for information, the Paperwork Reduction Act requires that we provide an Office of Management and Budget (OMB) control number along with an address where you can send comments regarding the survey. The OMB number for this survey is 1545-2250.

RESPONSIBLE PARTIES

OFFICIAL USE ONLY

Incoming PII Interfaces

Does the employee/taxpayer PII come from the IRS, Treasury, or other Government system(s), application(s) or data base(s)?

Yes

List the source that the PII is extracted or derived from.

Name: IRS secured database, Audit Information Management System (AIMS)
Transmission Method: Electronic
ISA/MOU: No

Does the data come from other sources?

No

PII SENT TO EXTERNAL ORGANIZATIONS

Are the Survey results disclosed to any other Federal or State Government? (For example, the Federal Viewpoint Survey/Questionnaire - OPM gets the results.)

No

Are any external resources used to create the database of the participants?

No

SURVEY PARTICIPATION

Who will the Survey be administered to?

Taxpayers

Explain how participants are selected. Include a detailed description of the method and reason of selection. If selection is random, please explain.

The Employment survey will use a census, administered to the entire population of Employment Tax closed audit cases. estimated to be 14,000 over the course of the year, distributed into the four Employment Tax territories

How are participants notified of the Survey?

Participants are notified of the survey through correspondence received via U.S. Mail.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

The introductory letter states, "Providing information is voluntary."

How will the Survey be conducted?

Web Based

Explain the procedure:

The survey is conducted by mail, but the respondents are also given the choice to complete the survey electronically, using an on-line URL link with an assigned password. Cookies are not used.

Mail

Explain the method for choosing participants:

The survey is conducted via U.S. Mail, the method of choosing survey participants is described above. The contractor administers the survey by mail on a monthly basis. The current mail survey process includes: 1) an advance letter about the survey; 2) a cover letter with the survey questionnaire; 3) a postcard reminder; and 4) a second letter and survey questionnaire to non-respondents.

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Analysis

Provide the name of the IRS office:

SBSE Research, Team 4

Does a contractor/vendor administer or perform analysis of the survey?

Administer

Provide the name of the contractor/vendor:

Fors Marsh Group

Has a Contracting Officer or Contracting Officer's Representative (COR) verified:

That all applicable FAR requirements are met to engage a contractor to perform the survey.

Yes

That all required "non-disclosure" clauses are contained in the contract.

Yes

That all contractor employees who will have access to the data have signed non-disclosure agreements and the non-disclosure forms are on file with the COR.

Yes

What is the level of access and background investigation completed on contractor employees prior to access to PII about employees or taxpayers? Any contractor or subcontractor who will have access to the PII should have at least a "Moderate Risk" (NACIC) investigation. See Publication 4812 - Contractor Security Controls.

Contractor Users: Read-Only Moderate

INFORMATION PROTECTION

What information/results will be provided to the business owners (IRS Requestors) of the Survey?

The Business Owners will receive one disposition report from the contractor, as well as monthly datasets from the monthly survey administration. No specific taxpayer information regarding the survey will be provided to the Business Owners. The contractor uses variable coding on the reports where participants are referred to as 'respondents.' Participants cannot be identified, and no adverse actions will be taken against them regarding their responses. All reports are prepared internally by the SBSE Research Team.

Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances?

Yes

Can you confirm that no adverse actions can be taken against participants regarding the participant's answer?

Yes

For employee or taxpayer Satisfaction Surveys, can you verify that no "raw" or un-aggregated employee or taxpayer data will be provided to any IRS office?

Yes

Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey?

No

RECORDS SCHEDULE

Are the Survey records covered under the General Records Schedule (GRS), or have a National Archives and Records Administration (NARA) archivist approved a Record Control Schedule for the retention and destruction of official agency records stored in this Survey?

Yes

How long are the records required to be held under the corresponding RCS and how are they disposed of? Explain how long any PII data will be retained by the contractor if they are conducting the Survey on behalf of the IRS. In your response, please include the complete IRM number and specific item number and title.

All records for the survey will be deleted or destroyed in accordance with approved retention periods. Any records will be managed according to requirements under IRM 1.15.1 and 1.15.6 and will be destroyed using IRS General Records Schedule (GRS) 6.5, Item 010 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. Cyber-security and the National Institute of Standards and Technology (NIST) for records retention requirements state that documents must be securely maintained for seven (7) years prior to destruction or until the end of the contract term (Period of Performance), These requirements will obviously be considered in drafting a final request for records disposition authority for NARA submission and approval.

DATA SECURITY

How does the administrator of the survey guarantee that the PII regarding employees or taxpayers will not be compromised, lost or stolen when housed on IRS computers? Where and how is it stored and protected?

No PII is housed on IRS computers.

Does a contractor/vendor administer or perform analysis of the survey?

Yes

Please provide the Cyber security approved security and encryption used when data is transferred electronically from IRS to Contractors and back to the IRS.

Contractor maintains compliance with Cyber-security and National Institute of Standards and Technology (NIST) requirements for data to be transferred through the Electronic File Transfer Unit (EFTU) or using the Secure Zip data transfer method. Any time a bulk file encryption is used, requiring the sharing of an encryption phrase, the pass phrase will be communicated separately from the email/package, with an alternate method to communicate, e.g. phone call to communicate pass phrase.

When data is not sent electronically, provide in detail the information regarding the transfer back and forth from the IRS to contractors?

Contractor maintains compliance with Cyber-security and National Institute of Standards and Technology (NIST) requirement for data to be transferred via password protected encrypted disk via FedEx overnight mail (including return acknowledgement form).

How is the survey PII protected and stored when it is housed at a contractor's site, on contractor's computers? Please provide detailed information that the contractor uses regarding the physical and electronic security and protection of the data before, during, and after the survey.

Contractor participates in annual Contractor Security Assessments by IRS Representatives and received satisfactory to excellent reviews annually. All electronic IRS data is stored on a separate password protected server inside a locked facility; physical data is stored in a locked cabinet. Only the IRS cleared system administrator has logical and physical access to the secure servers.

CIVIL LIBERTIES

Does the Survey maintain records describing how an individual exercises rights guaranteed by the First Amendment (including, but not limited to information regarding religious and political beliefs, freedom of speech and of the press, and freedom of assembly and petition)?

No

Will this Survey have the capability to identify, locate, and monitor individuals or groups of people?

No