

Survey PCLIA ID Number: 4002  
Date of Approval: May 10, 2019

## **SURVEY DESCRIPTION**

*Full name and acronym of the Survey.*

Campus Correspondence Exam (CCE) Customer Satisfaction Survey (Mail), SU-4002

*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 Unknown, prior PIA done in paper form, Campus Correspondence Exam (CCE) Customer Satisfaction Survey; (Mail), CCE CSAT Mail

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

SOI Control # BU-16-410

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

3/16/2016 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-16-410

*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 CCE program. To ensure that the CCE 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 CCE program is responsible for responding to customer technical and account inquiries from customers, resolving customer account issues, providing account settlement (payment options), and working related issues. The vast majority of IRS audits are conducted by the Correspondence Exam program. The mail-based audit administration used in this program allows the IRS to maintain a wide audit coverage. As such, CCE is considered a cornerstone of our voluntary compliance system.

## **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

Phone Numbers

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 22.062 Electronic Filing Records

IRS 24.030 Customer Account Data Engine Individual Master File

- IRS 24.046 Customer Account Data Engine Business Master File
- IRS 34.037 Audit Trail and Security Records
- IRS 42.001 Examination Administrative Files
- IRS 42.008 Audit Information Management System

## **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:*

Updated privacy notices, which were approved by the Disclosure Office, are included on the survey instruments.

## **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 Secure Database, Audit Information Management Systems (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.*

Participants are randomly selected each month via a stratified random sample using the IRS Audit Information Management System (AIMS) secured database. Samples are stratified by campus in order to ensure an adequate number of respondents for campus level analyses.

*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 generally conducted by mail, but the respondents are also given the choice to complete the survey using a URL link ([www.Surveyirs.com](http://www.Surveyirs.com)) with a password provided in the survey correspondence received via U.S. Mail.

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 Internal Revenue Manual (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 the 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 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 from this survey is stored on IRS computers.

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

No



## **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