

Survey PCLIA ID Number: 4009
Date of Approval: June 18, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

Automated Collection System (ACS) Customer Satisfaction Survey (CSAT) (Toll-Free IVR), SU 4009

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. Automated Collection System (ACS) Customer Satisfaction Survey; Toll-Free IVR

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

SOI Control #BU-16-408

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

3/16/2016

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-16-408

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.

This survey is conducted as part of the IRS agency-wide initiative to monitor and improve taxpayer satisfaction with the ACS program. To ensure that the ACS 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 telephone using Interactive Voice Response (IVR). ACS is responsible for resolving Federal tax delinquencies that involve unpaid taxes and/or unfiled returns. ACS primarily interacts with taxpayers over the phone. Since ACS is empowered to take enforcement action to resolve delinquent accounts, many contacts are the result of taxpayers calling ACS in response to a proposed or completed enforcement action. Such actions can include issuing a notice of levy against a taxpayer's property, wages, bank accounts or accounts receivable; or filing a notice of federal tax lien to secure the government's interest against the taxpayer's property. When taxpayers call, ACS employees attempt to secure

sufficient information to resolve the tax issues. If the taxpayer does not provide all the required information, they may be instructed to follow up by mailing in documents or calling back at another time when the information is available. ACS employees must often walk a fine line in providing top quality service to taxpayers while also fulfilling their responsibilities to resolve tax liabilities in an efficient and effective manner.

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

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 26.019 Taxpayer Delinquent Account Files
- IRS 34.037 Audit Trail and Security Records

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 Treas/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 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)?

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.

Taxpayers who call in to the ACS telephone lines in response to notices mailed to them about their payment or filing delinquency are the potential population for the ACS survey. When taxpayers call the ACS telephone number, and IRS employee monitors the incoming calls that match the sampling pattern. Variables for selecting incoming call participants from the ACS line include hour of day, day of week, and time of year. At the end of each selected call, the IRS monitor notifies the IRS customer service representative that the call has been selected for inclusion in the survey. Taxpayers are asked if they would like to participate in a voluntary survey. Callers who agree to participate are transferred to the IRS monitor, who then transfers the customer into an automated survey.

How are participants notified of the Survey?

Telephone script provides notice of the survey and that it is optional, prior to the start of the automated survey.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

Telephone script provides notice of the survey and that it is optional, prior to the start of the automated survey.

How will the Survey be conducted?

Phone

Explain the procedure:

The survey is conducted via telephone, the method of choosing survey participants is described above. The contractor administers the survey on a monthly basis. The survey data is collected via an Interactive Voice Response (IVR) phone questionnaire. The customer service representative asks the customers if they would like to participate in the voluntary survey. Callers who agree to participate are transferred to an IRS monitor, who then transfers the customer into the automated toll-free survey, which is conducted by the contractor.

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:

Pacific Consulting Group (PCG)

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