

# Survey PCLIA Report

Date of Approval: January 18, 2018

Survey PCLIA ID Number: **3032**

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## A. Survey Description

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1. Full name and acronym of the Survey. Correspondence Exam Secure Messaging Survey, N/A
2. Is this a Survey, Telephone Interview or Focus Group? 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 Moderators Guide will be requested by the Privacy Analyst.*

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3. Is this a new Survey? Yes
  4. Is this a reoccurring Survey? Yes
    - 4.a. If yes, list the schedule or requested operational date(s) of when the Survey will be administered. Monthly effective November 2017
  5. Does this Survey have an SOI (Statistics of Income) control number? No
  6. Does the Information Collection Request require OMB Clearance? Yes
    - 6.a. If yes, what is the OMB Clearance number? 1090-0008

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### A.1. General Business Purpose

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7. 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.

To determine customer satisfaction among taxpayers who have used secure messages to communicate with the IRS during their audit. As part of the Taxpayer Digital Communications (TDC) project, the IRS is testing the use of Secure Messaging with taxpayers to conduct Correspondence Examinations (Audits). Participating taxpayers have been invited and opted in to use the Secure Messaging platform, and have completed an authentication process to verify their identity. Taxpayers used a secure platform to send/receive electronic messages and to share documentation with the IRS. The survey will help IRS better understand the taxpayer's experiences with the process of registering/authenticating their identity, communicating with the IRS via electronic messages, and transmitting documents to the IRS to support the items reported on their tax returns. This information will allow IRS to assess the effectiveness of the system and to determine if/where any improvements may be needed. NOTE: The Federal Consulting Group (FCG), an agency within the Department of the Interior, coordinates the survey for other federal agencies through an interagency agreement. They handle administrative tasks for the survey, such as getting OMB clearance for federal agency participants through the DOI's approval process, so this PCLIA will not go through IRS' SOI coordinated OMB process. FCG's subcontractor, conducts and analyzes the survey with the assistance of their subcontractor ForeSee.

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**B. PII Details**

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8. 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

8.a. If yes, specify the information.

<u>Selected</u>	<u>PII Element</u>	<u>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>
No	Name	No	No	No
No	Mailing address	No	No	No
No	Phone Numbers	No	No	No
Yes	E-mail Address	No	No	No
No	Date of Birth	No	No	No
No	Place of Birth	No	No	No
No	SEID	No	No	No
No	Mother's Maiden Name	No	No	No
No	Protection Personal Identification Numbers (IP PIN)	No	No	No
No	Internet Protocol Address (IP Address)	No	No	No
No	Criminal History	No	No	No
No	Medical Information	No	No	No
No	Certificate or License Numbers	No	No	No
No	Vehicle Identifiers	No	No	No
No	Passport Number	No	No	No
No	Alien (A-) Number	No	No	No
No	Financial Account Numbers	No	No	No
No	Photographic Identifiers	No	No	No
No	Biometric Identifiers	No	No	No
No	Employment (HR) Information	No	No	No
No	Tax Account Information	No	No	No

8.b Are there other types of PII collected in the Survey? No

8.c. Is any PII data collected, disclosed, or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate? No

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**C. Privacy Act & System of Records**

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

9a. If yes, enter the SORN number(s) and the complete name of the SORN(s).

<u>SORNS Number</u>	<u>SORNS Name</u>
IRS 42.008	Audit Information Management System (AIMS)

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**C.1. Privacy Act Notice**

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

9.1.a. If yes, please provide the Privacy Act Statement. Completing the survey is voluntary, and your identity will remain private. The following text will be included in the survey and the invitation to participate in the survey: "The authority requesting the information is 5 USC 301. The primary purpose of asking for the information is to determine steps IRS can take to improve our service to you. The

information may be disclosed as authorized by the routine uses published for the Privacy Act System of Records. Providing the information is voluntary. Not answering some or all of the questions will not affect you." The following text will be included in the open ended question: "To help ensure your privacy, please do not include any personal information, e.g. Name, SSN, address, phone number, etc. in your response."

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#### D. Responsible Parties

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10. Identify the individuals for the following Survey roles: ## Official Use Only

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#### E. Incoming PII Interfaces

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

11.a. If yes, list the source that the PII is extracted or derived from.

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
AIMS - Computer Information System (A-CIS)	Not Transmitted	No

11.1. Does the data come from other sources? Yes

11.1.a. If yes, describe the source of the information. Secure messaging is used to invite the taxpayers to participate in the survey. A non-secure email is sent to the taxpayer notifying them that they have a new message. This information, including the email addresses, is not collected or used in the administration of the survey.

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#### F. PII Sent to External Organizations

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12. Are the Survey results disclosed to any other Federal or State Government? (For example the Federal Viewpoint Survey/Questionnaire – OPM gets the results.) No

13. Are any external resources used to create the database of the participants? No

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#### G. Survey Participation

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14. Will the Survey be administered to IRS, Taxpayers or Others ? Taxpayers

If Others, please explain.

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. 100% of closed TDC audit cases each month will be asked to fill out the survey. Participants are selected using A-CIS (an access extract of AIMS data at the end of each month).

16. How are participants notified of the Survey? TDC is a secure messaging platform. Participants will receive a generic message that they have a new secure message. When they log into the TDC platform, the taxpayer will have a message that includes the URL for taxpayer to access and complete the survey. The URL will be created after OMB approval.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? In the body of the secure message - "Completing the survey is voluntary, and your identity will remain private."

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18. How will the Survey be conducted?

No Electronically

Yes Web Based

No Phone

No Mail

No Other

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### G.1. Survey Process

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19. Does IRS administer or perform analysis of the survey? Analysis

Provide the name of the IRS office administering the survey.

Provide the name of the IRS office performing analysis of the survey. SB/SE Headquarters

Exam

Provide the name of the IRS office.

20. Does Contractor/Vendor administer or perform analysis of the survey? Yes

Contractor/Vendor: Both

Provide the name of the Contractor/Vendor. ForeSee

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

20.a.1. All applicable FAR requirements are met to engage a contractor to perform the survey. Yes

20.a.2. That all required "non-disclosure" clauses are contained in the contract. No

20.a.3. 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. No

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### I. Information Protection

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21. What information/results will be provided to the business owners (IRS Requestors) of the Survey? Summary of results of answers to questions. Verbatim text of open ended comments after being systemically "scrubbed" of potential PII prior to being submitted to the vendor. The scrubbing is done through an "Open End Text Replacement" Process. Before open end responses get to the vendor's portal (through the warehouse load process) this process will find patterns in the open end text field and replace that pattern with any text desirable (the word "[scrubbed]"). This would apply to: •social security number •birth dates •email addresses •phone numbers •profanity •drug names

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

23. Can you confirm that no adverse actions can be taken against participants regarding the participant's answers. Yes

24. 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

25. Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey? No

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## **I.1 Records Schedule**

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26. 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

26.a. If 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.

Correspondence Exam Secure Messaging Survey is unscheduled. A request for records disposition authority for this Survey (and other similar external surveys Servicewide) will be drafted with the assistance of the IRS Records and Information Management (RIM) Program Office. When approved by the National Archives and Records Administration (NARA), it is anticipated that instructions for this survey will include retentions for the datasets/raw data, background documentation, and summary/final reports, as appropriate. Cyber-security and NIST Standards for records retention requirements state that documents must be securely maintained for seven years prior to destruction or until the end of the contract term (Period Of Performance), whereas the participation of the contractor under the Customer Satisfaction Survey Blanket Purchase Agreement (CSS BPA) has been terminated. These requirements will obviously be considered in drafting a final request for records disposition authority for NARA submission and approval.

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## **P.1 Data Security**

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27. 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 stored or maintained as part of the survey administration.

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

28.a. If 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. No PII is contained in the survey data or results. Analysis is a summary of the answers.

28.b. If yes, When data is not sent electronically, provide in detail the information regarding the transfer back and forth from the IRS to contractors. N/A

28.c. If yes, 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 contractors uses regarding the physical and electronic security and protection of the data before, during, and after the survey. No PII is collected or stored.

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**M. Civil Liberties**

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29. 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

30. Will this Survey have the capability to identify, locate, and monitor individuals or groups of people? No

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**End of Report**

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