

Survey Privacy Impact Assessment (PIA)

Authority: Office of Management Budget (OMB) Memorandum (M) 03-22, OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002 & BRRM PVR #10- Privacy Accountability and #21-Privacy Risk Management, and the Privacy Act of 1974 (as amended).

SOI control number (if applicable)

Date

Section I - Introduction

Full survey name, and acronym (if this is a reoccurring survey, show date)

LB&I CAP Survey 2015

General business purpose of survey (provide a clear, concise description of the survey, why it's needed, the benefits to the mission of the service)
To obtain detailed insights from LB&I taxpayers regarding their satisfaction with the LB&I Compliance Assurance Process (CAP) program and to compare findings from survey data to prior years.

List all System of Records Notices (SORN) that apply. (SORN review required)

Treas/IRS 00.001-Correspondence

Treas/IRS IRS 42.001-Examination Administrative Files

Requested operational date

9/1/2015

Section II - About The Survey

1. Who will the survey be administered to

a. IRS employees, managers or executive service

Yes No

i. List all PII data used in the survey, or to select participants (PII data includes information that can be linked to an individual by using other information. Data does not have to be linked by the IRS to be PII data. Data in the contractor's custody that is never requested by the IRS may also be PII data. Read the web page at http://irweb.irs.gov/AboutIRS/bu/pipds/pip/privacy/privacy_art/8352.aspx before answering this question)

b. Taxpayers

Yes No

i. List all PII data used in the survey, or to select participants
Taxpayer corporation names, heads of tax departments, email addresses.

c. Others

2. Explain how participants are selected (detailed description on method & reason of selection, if random, explain)

The survey uses a census - it includes all taxpayers that are participants of LB&I's Compliance Assurance Process (CAP) program at the time of the survey.

a. List the IRS, Treasury or other Government system(s), applications or data bases that the employee/taxpayer PII data is extracted or derived from. If data comes from other sources, describe the source of the information

This survey includes all taxpayers that are participants of LB&I's CAP program at the time of the survey.

3. Is the survey voluntary

Yes No

a. How is notice given that the survey is optional

A pre-notification email is sent by an IRS executive to CAP taxpayers. An invitation email is subsequently sent containing a secure link and

unique password for each participant to access the survey. Two reminder emails are sent during the fielding period to those who have not yet responded to the survey. Each notice indicates that participation in the survey is voluntary.

4. Is any Personally identifiable Information (PII)/data collected, disclosed or studied on employees, taxpayers, Yes No stakeholders or other individuals who choose not to participate

5. How will the survey be conducted

a. Electronically (*explain delivery method & if cookies are used*)

The survey will be conducted via a 15-minute online survey. Participants will receive email invitations containing a unique, password-protected link to a web-based survey.

b. Phone (*explain procedure, and provide script*)

c. Mail (*explain method for choosing participants, and provide example of cover letter to the participants*)

d. Other

6. Who will conduct the survey? Please provide a copy of the contract

a. IRS conducted (*name the office that will conduct the survey*)

b. Contractor conducted

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

1. All applicable FAR requirements are met to engage a contractor to perform the survey Yes No

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

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 Yes No

ii. If question 6b(i) contains any "no" answer, please explain

iii. What is the level of background investigation completed on contractor employees prior to access to PII information about employees or taxpayers? Any contractor or subcontractor who will have access to employee or taxpayer PII data, must have at least a "Moderate Risk" (NACIC) investigation

All employees working on this research have completed "Moderate Risk" (NACIC) investigations

c. What information/results will be provided to the business owners (*IRS requestors*) of the survey? We need to know that the employees or taxpayers who will participate cannot be identified under any circumstances, and no adverse actions can be taken against participants regarding their answers

A report will be provided that summarizes respondent feedback and provides direction for the LB&I Taxpayer research program. All results will be presented in aggregate form and no responses will be tied to specific individuals. No individual identifying information will be provided. No adverse actions can be taken against participants regarding their responses.

d. 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

No raw or un-aggregated taxpayer data will be provided to any IRS office. Results will be presented in aggregate only and no individual identifying information will be provided.

e. If any employee or taxpayer identifiers will be provided to the business owner, explain the business reason

7. How does the administration of the survey guarantee that the PII data regarding employees or taxpayers will not be compromised, lost or stolen. Explain Office of Cyber security approved security & encryption used if data is transferred from IRS office to contractors, and back to the IRS. If data is not sent electronically, include in detail, information about commercial courier services, or U.S. mail used to ship paper, tapes or electronic media back and forth from the IRS to contractors. Ensure that Cyber security approves the security and data encryption process used by the contractor

LB&I and _____ maintain approved security and encryption procedures for transfer of any PII, uploading data on Axway as approved by the IRS.

8. How is the survey PII data protected and stored? If data is housed at a contractor's site, on contractor's computers, give detailed information about the physical and electronic security & protection of the data before, during, and after the survey
 _____ complies with IRS physical and electronic security procedures as outlined in the contractors' Blanket Purchase Agreement. also undergoes annual data security site visits from the IRS

9. Are any external resources used to create the database of participants Yes No

10. Are the survey results disclosed with any other Federal or State government offices Yes No

If yes, explain

11. Survey Records - Retention and Disposal (*Records Retention review required*)

a. Cite any business owner policy IRM Chapter (including Sections/subsection) and Record Control Schedule (RCS, including item number) that describes how the data is retained, stored and disposed of

11a. LB&I's CAP Survey is unscheduled. A request for records disposition authority for this Survey (and other similar internal/external surveys Service-wide) will be drafted with the assistance of the IRS Records and Information Management (RIM) Program Office.

11b. Disposition of records created by the Internal Revenue Service, including those records created by all Service employees and contractors performing agency functions, is controlled using the Service-wide Records Control Schedules. By that token, LB&I survey records created and/or maintained by the vendor (_____) on behalf of the Service must follow the same records disposition authority submitted to/ approved by NARA...TBD. At the completion of the vendor contract, CAP Survey records still in existence will be surrendered by the contractors to designated persons in IRS or will be transferred to another contractor with the express permission and instructions from IRS staff responsible for the records. All records that have reached their final disposition and are eligible for destruction may be properly disposed of using preapproved methods and appropriately witnessed and then submitting a form similar to or same as the Standard Form 1428, Inventory Disposal Schedule to designated IRS officials.

b. Explain how long any PII data will be retained by the contractor if they are conducting the survey on behalf of the IRS. The IRS Records Office can provide guidance on IRS requirements for records retention. All legal requirements that apply to IRS records (*and non-records*) must be followed by contractors)
 _____ complies with records retention guidelines as provided by the IRS. _____ retains records for seven years, as specified in our Blanket Purchase Agreement.

12. Based on the information you have provided above, does the survey require a Privacy Act Notice to be provided to participants?

Office of Disclosure will help you determine the need for a Privacy Act Notice or see IRM 11.3.16 Disclosure of Official Information, Privacy Act Notification Programs (*provide the Office of Privacy a copy of the Privacy Act Notice if one is required for this survey*)

Yes, and it reads: The primary purpose for requesting this information is to help the IRS improve its service to taxpayers. Our authority for requesting the information is 5 USC and 26 USC 7801.