

Survey PCLIA Report

Date of Approval: September 7, 2018

Survey PCLIA ID Number: **3465**

A. Survey Description

1. Full name and acronym of the Survey. Adjustments Customer Satisfaction Survey, CSAT
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.

3. Is this a new Survey? No
 - 3.b. If no, is there a PCLIA for this Survey? Yes
 - 3.b.1. If yes, enter the full name, PCLIA ID, and acronym most recent Survey PCLIA. Adjustments Survey, BU-16-421
 - 3.b.2. If yes, enter the reference number (include SOI, OPC, TCBC, or Other). 1545-2250
 - 3.b.3. If yes, enter the approval date of the most recent Survey PCLIA. 04/13/2014
 - 3b.4. If yes, indicate which of the following changes occurred to require this update. (Check all that apply)

<u>No</u>	Addition of PII
<u>No</u>	Anonymous to Non-Anonymous
<u>No</u>	Contract changes/expires
<u>Yes</u>	PCLIA Expired
<u>No</u>	OMB Required Update
 - 3.b.5. If yes, were there other changes not listed above? No

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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. This is an ongoing Survey of Adjustments Customers. All closures must be input by the fourth business day following the end of the month. Adjustments Customer Satisfaction Survey data will be transferred via Enterprise File Transfer Utility (EFTU) by the Process Improvement Customer Accuracy(PICA)Staff.
 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? 1545-2250

A.1. General Business Purpose

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.

The objectives of this study were to identify what Adjustments staff and managers can do to improve customer service and to track taxpayers' satisfaction with Adjustments service attributes over time. The Adjustments operation is responsible for responding to written customer technical and account inquiries, resolving customer account issues, providing account settlement (payment options), processing amended returns and working related issues. Wage & Investment requires feedback from customers to continually improve Adjustments' operations. Wage & Investment solicits this feedback through customer satisfaction research.

B. PII Details

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>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>	<u>Selected</u>	<u>PII Element</u>
Yes	Name	Yes	Yes	No
Yes	Mailing address	No	No	No
Yes	Phone Numbers	No	No	No
No	E-mail Address	No	No	No
Yes	Date of Birth	Yes	Yes	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
Yes	Tax Account Information	Yes	Yes	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

C. Privacy Act & System of Records

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).

SORNS Number

SORNS Name

IRS 00.001	Correspondence Files and Correspondence Control Files
IRS 00.003	Taxpayer Advocate Service and Customer Feedback And Survey Records

C.1. Privacy Act Notice

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. The IRS is trying to improve the service it provides taxpayers. You can help in this important mission by answering the questions below. This voluntary survey should take less than 7 minutes to complete. Your responses will be kept as anonymous as allowed by law to the IRS. If you have any questions about this survey, you may call the Survey Helpline at 1-800-521-7177.

D. Responsible Parties

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

E. Incoming PII Interfaces

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>
Internal Revenue Service	Correspondence Imaging System (CIS)	Yes
Internal Revenue Service	Integrated Data Retrievable System (IDRS)	Yes

11.1. Does the data come from other sources? No

F. PII Sent to External Organizations

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

G. Survey Participation

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

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. Participants are randomly selected from taxpayers who have corresponded with the Adjustments Operations Division with technical and account inquiries. Such as, resolving customer account issues; providing account settlement; (payment options), and/or working other technical/account related issues (i.e. amended tax returns). The W&I Adjustments Operations Division provide the "data" file of the randomly selected participants to the Contractor monthly. W&I Adjustments Operations is the source of the extracted data provided to the Contractor. The sampling plan will include the target population and sampling frame, sampling specifications, expected reliability of the sample estimates, sampling limitations, preliminary sampling weights, and the strategy for achieving target quotas within key strata. Sample plans are followed by IRS based on expected volumes in each site. Names and addresses are collected in a data base. Each site forwards their database monthly to the W&I Accounts Management Headquarters office. These are encrypted data files sent electronically with Secure Messaging. Accounts Management Program Management/Process Assurance (PM/PA) analysts consolidate the data and forward to the contractor via secured electronic transfer (EFTU).

16. How are participants notified of the Survey? Taxpayers whose cases were closed during the Fiscal Year are eligible for the study. At the close of each month, each site selected a systematic sample of taxpayers for the study (approximately 5,000 each quarter). Survey data collection was conducted with selected taxpayers by regular mail. A second survey package was sent to Adjustments taxpayers who did not respond to the first survey mailing.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? This voluntary survey should take less than 7 minutes to complete. Your responses will be kept as anonymous as allowed by law to the IRS. If you have any questions about this survey, you may call the Survey Helpline at 1-800-521-7177.

18. How will the Survey be conducted?

No Electronically

No Web Based

No Phone

Yes Mail

Explain the method for choosing participants. At the close of each month, each site selected a systematic sample of taxpayers for the study (approximately 5,000 each quarter). Survey data collection was conducted with selected taxpayers by regular mail. A second survey package was sent to Adjustments taxpayers who did not respond to the first survey mailing.

No Other

G.1. Survey Process

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. W&I Strategies & Solutions

Provide the name of the IRS office.

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

Contractor/Vendor: Administer

Provide the name of the Contractor/Vendor. FORS Marsh Group

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. Yes

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. Yes

20.b. If 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	Yes	Administrator	Moderate
Contractor Managers	Yes	Administrator	Moderate
Contractor Sys. Admin.	Yes	Administrator	Moderate
Contractor Developers	Yes	Administrator	Moderate

I. Information Protection

21. What information/results will be provided to the business owners (IRS Requestors) of the Survey? No raw or aggregated data will be provided to the IRS. The contractor returns the data using variable coding and none of the taxpayer information can be identified.

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

I.1 Records Schedule

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.

The Adjustments Customer Satisfaction Survey are scheduled. Any records generated and maintained will be managed according to requirements under IRM 1.15.1 and 1.15.6, and will be destroyed using IRS Document 12990, RCS 9 Item 67 (a) and (b) as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer.

P.1 Data Security

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? IRM 10.8.1.3 Program Management Security Controls (1) FISMA requires organizations to develop and implement an organization-wide information security program to address information security for the information and information systems that support the operations and assets of the organization, including those provided or managed by another organization, contractor, or other source.

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. IRS maintains the Enterprise File Transfer Utility (EFTU) for controlling all system-to-system file transfers. 1. Data is created on a mainframe at the IRS 2. The data file is moved from that mainframe to the Secured Data Transfer(SDT)server by EFTU 3. The PICA Staff sends an email to the contractor that the file is ready for pickup. 4. The contractor connects and authenticates to the SDT server. 5. The contractor pulls the data to their system. 6. SDT server sends an email to the contractor that they successfully downloaded the file from the SDT server. 7. SDT removes the file from the contractor folder. These are encrypted data files sent electronically with Secure Messaging. Accounts Management Program Management/Process Assurance (PM/PA) analysts consolidate the data and forward to the contractor via secured electronic transfer (EFTU).

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. Accounts Management Program Management/Process Assurance (PM/PA) analysts consolidate the data and forward to the contractor via secured electronic transfer (EFTU)

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 use regarding the physical and electronic security and protection of the data before, during, and after the survey. The contractor's sites have all been subject to site visits by IRS security personnel and have passed all required security protocols. Data are transferred to and from the contractor through EFTU.

M. Civil Liberties

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

End of Report
