

# Survey PCLIA Report

Date of Approval: August 14, 2018

Survey PCLIA ID Number: **3588**

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## A. Survey Description

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1. Full name and acronym of the Survey. LB&I Pilot Exam Campaign Survey, PC
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
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4. Is this a reoccurring Survey? No

4.b. If no, provide the dates collection of information will begin and end. In the fall of 2018

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? CS-18-495

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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. The Internal Revenue Service (IRS) enlists a balanced measurement system consisting of business results, customer satisfaction and employee satisfaction. This initiative is part of the Service-wide effort to maintain a system of balanced organizational performance measures mandated by the IRS Restructuring and Reform Act (RRA) of 1998. This is also a result of Executive Order 12862 that requires all government agencies to survey their customers. The IRS Large Business and International division has announced the identification and selection of campaigns since January 2017. This is a significant milestone for LB&I in the campaign effort. LB&I is moving toward issue-based examinations and a compliance campaign process in which the organization decides which compliance issues that present risk require a response in the form of one or multiple treatment streams to achieve compliance objectives. This approach makes use of IRS knowledge and deploys the right resources to address those issues the campaigns are the culmination of an extensive effort to redefine large business compliance work and build a supportive infrastructure inside LB&I. Campaign development requires strategic planning and deployment of resources, training and tools, metrics and feedback. LB&I is investing the time and resources necessary to build well-run and well-planned compliance campaigns. These campaigns were identified through LB&I extensive data analysis, suggestions from IRS compliance employees and feedback from the tax community. LB&I's goal is to improve return selection, identify issues representing a risk of non-compliance, and make the greatest use of limited resources. The objective of this survey is to gather feedback from LB&I campaign participants to help LB&I understand the effectiveness of the

Campaigns and identify areas of improvement. LB&I customer base are corporations with \$10 million or more in assets. Small entities are not affected by survey.

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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>On</u> <u>Primary</u>	<u>On Spouse</u>	<u>On</u> <u>Dependent</u>	<u>Selected</u>	<u>PII</u> <u>Element</u>
Yes	Name	Yes	No	No
Yes	Mailing address	No	No	No
No	Phone Numbers	No	No	No
No	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
Yes	Tax Account Information	Yes	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>
Treasury/IRS .001	Correspondence Files and Correspondence Control Files
Treasury/IRS .003	Taxpayer Advocate Service and Customer Feedback and Survey Records

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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. The primary purpose for requesting this information is to help the IRS improve its service to taxpayers. Our authority for requesting the information is 5United States Code (USC) and 26 USC 7801. Providing information is voluntary. However, if you do not answer all or part of the survey questions, the IRS and LB&I may lack information it could use to improve taxpayer service. The information you provide may be disclosed to an IRS contractor when authorized by law. The contractor is required to follow confidentiality protections required by the Privacy Act and /or Internal Revenue Code section 6103.

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**D. Responsible Parties**

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10. Identify the individuals for the following Survey roles: (System Owner = Survey Owner/Business Owner) ##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>
Issue Based Management Information System (IBMIS)	Axway	Yes

11.1. Does the data come from other sources? No

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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

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. All corporate taxpayers that have undergone a corporate campaign will be sent an invitation to participate in the survey.

16. How are participants notified of the Survey? Taxpayers will receive a pre-notification letter and a reminder letter.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? Taxpayers are notified in the letter that the survey is optional.

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18. How will the Survey be conducted?

No Electronically

Explain the delivery method & if cookies are used.

18.a.2. What application is used to create the survey?

(Survey Manager, Centra, Verint/Vovici, Live Meeting, ELMS, TEMPO, SharePoint, Other)

Yes Web Based

Explain the delivery method & if cookies are used. This survey will be conducted online. Because email addresses are not available, survey invitations will be sent by mail to potential respondents. Each letter will include a simple web URL and a unique password. Respondents will use this URL and the password to log into the secure survey website and take the survey online.

No Phone

Explain the procedure.

No Mail

Explain the method for choosing participants.

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. Large Business & International (LB&I) Program and Business Solutions (PBS) Office

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. Pacific Consulting Group (PCG) Inc.

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	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 results

22. Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances? No

22a. If No, please explain. Users are only identified for the purposes of determining whether they have taken the survey to send the reminder notices. After this process the identification is scrubbed so no taxpayer identification can be made.

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.

All records for the Pilot Campaign 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. Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

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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? Data access is granted on a need-to-know basis. A potential user must submit a request for access to their local management for approval. Users are not permitted access without a signed form from an authorized management official. Specific permissions (Read, Write, Modify, Delete, and/or Print) are defined on the form and set (activated) by the System Administrator prior to the user being allowed access. User privileges and user roles determine the types of data that each user has access to. Management monitors system access and removes permissions when individuals no longer require access. Users are assigned to specific modules of the application and specific roles within the modules and accounts follow the principle of least privilege which provide them the least amount of access to PII/SBU data that is required to perform their business function after receiving appropriate approval. User access to data is determined by need-to-know requirements. The criteria, procedures, controls and responsibilities regarding access are documented to comply with the Computer Security Act of 1987's standards and guidelines on security and privacy.

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. Axway

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. only done thru Axway

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. PCG has safeguards in place where the records are stored on a hard drive in a secure facility. The information is encrypted.

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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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