

Survey PCLIA Report

NOTE: The following reflects the information entered in the PIAMS website.

Date of Submission: Apr 26, 2018 8:46AM

Survey PCLIA ID Number: **3424**

A. Survey Description

1. Full name and acronym of the Survey. Federal Employee/Retiree Delinquency Initiative (FERDI) Survey, FERDI Survey
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? Yes
 - 3.b. If no, is there a PCLIA for this Survey?
 - 3.b.1. If yes, enter the full name, PCLIA ID, and acronym most recent Survey PCLIA.
 - 3.b.2. If yes, enter the reference number (include SOI, OPC, TCBC, or Other).
 - 3.b.3. If yes, enter the approval date of the most recent Survey PCLIA.
 - 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>No</u>	PCLIA Expired
<u>No</u>	OMB Required Update
 - 3.b.5. If yes, were there other changes not listed above?
 - 3.b.5.a. If Yes, please explain the changes.

-
4. Is this a reoccurring Survey? No
 - 4.a. If yes, list the schedule or requested operational date(s) of when the Survey will be administered.
 - 4.b. If no, provide the dates collection of information will begin and end. Anticipated the third quarter of fiscal year 2018. (5/1/18 - 6/29/18)
 5. Does this Survey have an SOI (Statistics of Income) control number? No
 - 5.a. If yes, enter the number.
 6. Does the Information Collection Request require OMB Clearance? No
 - 6.a. If yes, what is the OMB Clearance number?

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.

Conduct a customer satisfaction survey to determine if the annual Federal Employee/Retiree Delinquency Initiative Survey (FERDI) letter, which informs Federal agencies of their workforce's delinquency rate for the last fiscal year, should be improved, and provide insights to enhance the FERDI Program. Specifically, Small Business/Self-Employed (SB/SE) Collection wants to determine if Federal agencies are using the IRS resources mentioned in the letter, which ones they find useful and share with their workforce, and during what occasions tax compliance is discussed. The benefits would be to determine how irs.gov resources can be updated to further help Federal agencies encourage federal tax compliance among their staff. Improved compliance will reduce the number of FERDI cases in collection status.

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>Selected</u>	<u>PII Element</u>	<u>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>
Yes	Name	Yes	No	No
Yes	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.b.1. If yes, describe the other types of PII that are applicable to this Survey.

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
Treas/IRS 36.003

SORNS Name
General Personnel and Payroll records

9b. If No, explain why the Survey does not have a SORN?

9c. If Other, explain your answer.

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.

SB/SE Research Privacy Policy - We are committed to protecting your privacy rights. Our policy is: We ensure that this survey is anonymous. Survey respondent's identities and answers are anonymous, and participation is voluntary. You will have the opportunity to provide written comments, suggestions, or other feedback. We will not share the information you give us with anyone, unless required by law. Any information we collect and maintain will be handled in accordance with the access and privacy protection requirements of the Privacy Act of 1974, the Freedom of Information Act, the Internal Revenue Code, and IRS policies and practices. For more information about these laws, visit the IRS Electronic Freedom of Information Act Reading Room.

9.1.b. If no, please add the Disclosure office agreement date?

D. Responsible Parties

10. Identify the individuals for the following Survey roles: (System Owner = Survey Owner/Business Owner) ## 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)? No

11.a. If yes, list the source that the PII is extracted or derived from.
No Organization Records found.

11.1. Does the data come from other sources? Yes

11.1.a. If yes, describe the source of the information.

The email addresses were provided to SB/SE Research from SB/SE Collection. SB/SE Collection called the Federal agencies and obtained the email addresses directly from the chief human capital officers (or equivalent) or their staff. Some of the email addresses were obtained from Federal agency website(s) and other public sources.

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

12.a. If yes, identify who the information is disclosed to how the data is transmitted and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

No Organization Records found.

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

13.a. If yes, identify the external resources used to create the database, how the data is transmitted and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

No Organization Records found.

G. Survey Participation

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

If Others, please explain: The survey will be administered to Federal agencies that were issued the annual FERDI letter.

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain:

There is no random selection. We will administer the survey to the population of 93 Federal agencies that were issued the annual FERDI letter.

16. How are participants notified of the Survey?

The participants will be notified of the survey via email. (However, the survey itself is web-based using Verint.) If the email address is undeliverable, then the participant will be notified via United States Postal Service (USPS) mail.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional?

Participants will be notified via the email invitation (or USPS invitation) that the survey is voluntary. Also, it will be stated in the Privacy statement and re-iterated during the introduction at the beginning of the survey.

-
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)

If SharePoint, is there a SharePoint PIA?

If Other, please explain.

Yes Web Based

Explain the delivery method & if cookies are used.
The survey will be conducted using Verint. Yes, Verint uses cookies. "Cookies utilized by Verint do not record personal information about the user. The persistent cookies are only used to prevent retaking of open participation surveys."

No Phone

Explain the procedure.

No Mail

Explain the method for choosing participants.

No Other

Please explain.

G.1. Survey Process

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

Provide the name of the IRS office administering the survey.
Provide the name of the IRS office performing analysis of the survey.
Provide the name of the IRS office. SB/SE Research - Team 1

20. Does Contractor/Vendor administer or perform analysis of the survey? No

Contractor/Vendor:

Provide the name of the Contractor/Vendor.

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.

20.a.1.a. If no, please explain.

20.a.2. That all required "non-disclosure" clauses are contained in the contract.

20.a.2.a. If no, please explain.

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.

20.a.3.a. If no, please explain.

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
Contractor Managers
Contractor Sys. Admin
Contractor Developers

I. Information Protection

21. What information/results will be provided to the business owners (IRS Requestors) of the Survey?
SB/SE Research will provide only summary results in the form of an aggregated report.

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

22a. If No, please explain.

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

23a. If No, please explain.

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

24a. If no, please explain.

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

25a. If yes, what will be provided to the business owner, explain the business reason.

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?

No

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.

26.b. If No, how long are you proposing to retain the records? Please note, if you answered no, you must contact the IRS Records and Information Management Program to initiate records retention scheduling before you dispose of any records in this Survey.

The FERDI Survey Project is unscheduled. A request for records disposition authority for this survey (and other similar material Service-wide) 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 disposition instructions for this material will include retentions for the datasets/raw data, background documentation, and summary/final reports, as applicable. SB/SE Research has proposed a three-year retention for the records. We will follow IRM 1.7 (Research and Analysis for Tax Administration) and applicable federal guidelines, including the Federal Information Security Management Act of 2002 (FISMA). The information will be stored on the SB/SE Research Team 1 server located in a secured area (in Plantation, FL) and only project participants will have access to the information. The names of the participants collected in the survey are covered by Treasury/IRS SORN 10.004 - Stakeholder Relationship Management and Subject Files. Reference to other data security guidance/policy is as follows: NIST 800-53, Recommended Security Controls for Federal

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?

The data will be stored in a secured area on an IRS file server. Only SB/SE Research employees assigned to the project will have access to the data maintained in a restricted access folder.

28. Does a contractor/vendor administer or perform analysis of the survey? No

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

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.

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.

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

29.a. If yes, explain the First Amendment information being collected and how it is used.

29.b. If yes, please check all of the following exceptions (any one of which allows the maintenance of such information) that apply:

No The individual about whom the information was collected or maintained expressly authorizes its collection/maintenance.

No The information maintained is pertinent to and within the scope of an authorized law enforcement activity.

No There is a statute that expressly authorizes its collection.

29.c. If yes, will the First Amendment information be used as the basis to make any adverse determination about an individual's rights, benefits, and/or privileges?

29.c.1 If yes, explain the determination process. Consult with IRS General Legal Services to complete this section.

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

30.a. If yes, describe the type of information derived from these efforts and the technical (e.g., audit trails) or other processes used to limit unauthorized monitoring.

End of Report
