

Survey PCLIA ID Number: 3970
Date of Approval: June 04, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

IRS Procurement Industry Customer Experience Survey, SU-3970

Type of Survey:

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 Moderator's Guide will be requested by the Privacy Analyst.

Is this a new Survey?

Yes

Is this a reoccurring Survey?

No

Provide the dates collection of information will begin and end:

The survey will be conducted by a contractor. While a hard release date has yet to be determined, the window for survey data collection is April - May 31, 2019.

Does this survey have an SOI (Statistics of Income) control number?

No

Does the Information Collection Request require OMB clearance?

No

GENERAL BUSINESS PURPOSE

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.

Forrester (our contractor support) will conduct a Customer Experience survey of our industry partners about their general perspectives, expectations, experiences working with IRS Procurement. This information will be used to in our overall industry engagement efforts to improve customer experience and communication; increase transparency and accountability.

PII Details

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

Please specify the types of PII:

E-mail Address

Are there other types of PII collected in the Survey?

No

Is any PII data collected, disclosed, or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate?

No

PRIVACY ACT & SYSTEM OF RECORDS

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

Yes

Enter the SORN number(s) and the complete name of the SORN(s):

Treasury .009 Treasury Financial Management Systems

PRIVACY ACT NOTICE

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

Yes

Please provide the Privacy Act Statement:

Privacy Act Notice: Our authority to request this information is 5 USC 301. The primary purpose for the information is to measure your satisfaction with IRS products and services. Results might be disclosed to contractors when authorized by law for analysis purposes if needed. Contractors, if used, would be subject to strict confidentiality requirements. Your response is voluntary. If you do not provide any or all of the information requested, the IRS will not have the benefit of using the information to improve service to you.

RESPONSIBLE PARTIES

OFFICIAL USE ONLY

Incoming PII Interfaces

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

No

Does the data come from other sources?

Yes

Describe the source of the information:

A contractor will administer the survey and collect feedback. The data comes from the voluntary responses of survey participants. Data will be stored on Forrester's secure SharePoint site. Forrester can set up a secure SharePoint site for IRS to access and download the information.

PII SENT TO EXTERNAL ORGANIZATIONS

Are the Survey results disclosed to any other Federal or State Government? (For example, the Federal Viewpoint Survey/Questionnaire - OPM gets the results.)

No

Are any external resources used to create the database of the participants?

No

SURVEY PARTICIPATION

Who will the Survey be administered to?

Others

Please explain:

Industry partners and contractors who are currently doing business with and contracted by IRS Procurement.

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

The participants are selected from the vendors with active contracts with IRS. Each vendor will be surveyed; there will be no scientific or random selection process.

How are participants notified of the Survey?

Participants will receive an email containing a link to the survey. Email is the only means of electronic communication available for this initiative.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

The notice is given in the Privacy Notice that "your response is voluntary".

How will the Survey be conducted?

Web Based

Explain the procedure:

Cookies are not used.

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Neither

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

Both

Provide the name of the contractor/vendor:

Forrester Research Incorporated

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

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

Yes

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

Yes

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

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.

INFORMATION PROTECTION

What information/results will be provided to the business owners (IRS Requestors) of the Survey?

Opinion feedback, customer experience and satisfaction levels.

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

Yes

Can you confirm that no adverse actions can be taken against participants regarding the participant's answer?

Yes

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

Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey?

No

RECORDS SCHEDULE

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

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.

IRS Procurement Industry Customer Experience Survey is unscheduled. A request for records disposition authority for this Survey (and other similar external surveys Service wide) is currently being drafted with the assistance of the IRS Records and Information Management (RIM) Program Office. NHQ will work with the IRS Records Office to obtain the legal requirements for the retention and disposition of the Survey data. Records will be retained for two years or longer if trending analysis is required.

DATA SECURITY

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?

Survey data will be collected, stored and secured by the contractor (Forrester Research, Inc.); not on IRS computers.

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

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 encrypted email.

When data is not sent electronically, provide in detail the information regarding the transfer back and forth from the IRS to contractors?

Not applicable

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 contractor uses regarding the physical and electronic security and protection of the data before, during, and after the survey.

No PII will be collected.

CIVIL LIBERTIES

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

Will this Survey have the capability to identify, locate, and monitor individuals or groups of people?

No