

Survey PCLIA ID Number: 4039
Date of Approval: May 29, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

Appeals Customer Satisfaction Survey, SU-4039

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?

No

Is there a PCLIA for this Survey?

Yes

Enter the full name, PCLIA ID and acronym of the most recent Survey PCLIA:

BU 16-376

Enter the reference number (include SOI, OPC, TCBC or Other

Other

What is the approval date of the most recent Survey PCLIA?

3/30/2016

Indicate the changes that require this update:

PCLIA Expired

Were there other changes not listed above?

Yes

Please explain the changes:

The general survey questions have been changed to a more simplified approach and are lesser in number. In addition, a sub-survey for an Appeals pilot is included for approximately 150 individuals per year. The sub-survey is for the Appeals Team Case Leader (ATCL) pilot.

Is this a reoccurring Survey?

Yes

List the schedule or requested operational date(s) of when the Survey will be administered.

The survey will be administered from May to December of each year.

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

No

Does the Information Collection Request require OMB clearance?

Yes

What is the OMB Clearance number?

15451432

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.

The survey is conducted as part of the IRS agency-wide initiative to monitor and improve taxpayer satisfaction with the service provided. The objectives of this study are to: identify what Appeals staff and managers can do to improve customer service and track customer satisfaction with Appeals' process over time. The web-based survey will provide taxpayers with written communication up-front (in the form of a letter explaining the survey) to provide more of a sense of security. The web survey, performed on a quarterly basis, will also allow taxpayers and Power of Attorneys (POA) more time to answer the survey questions related to a recently completed appeal. If the taxpayer/POA does not reply to the web request, they will be contacted via phone. The taxpayer will be contacted unless he requested that a POA represent them during the appeal. In that case, the POA will be contacted for the survey.

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:

Name

Mailing address

Phone Numbers

Tax Account Information

Are there other types of PII collected in the Survey?

Yes

Describe the other types of PII that are applicable to this Survey:

Appeals will use the taxpayer's name, address and telephone number as the primary means of contact. If the taxpayer was represented during the appeal, the power-of-attorney's name, address and telephone number will be used. The taxpayer's account information is used for categorical purposes, such as the type of Appeals case they took part in (Examination/Collection etc.). No Social Security or Employer Identification numbers are provided to the vendor.

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

Yes

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):

IRS 00.001 Correspondence Files and Correspondence Control Files

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:

The information you provide may be disclosed to an IRS contractor when authorized by law. The contractor is required to follow confidentiality protections by the Privacy Act and/or Internal Revenue Code section 6103.

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)?

Yes

List the source that the PII is extracted or derived from.

Name: Appeals Centralized Database System

Transmission Method: Electronic

ISA/MOU: No

Does the data come from other sources?

No

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?

Taxpayers

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 chosen via a stratified random sample by category of work. The vendor is provided with the minimum necessary information of certain data fields from all Appeals closed cases during a specific fiscal year in order to provide enough information to conduct surveys.

How are participants notified of the Survey?

A letter is issued to the taxpayer or representative, if they were randomly sampled to participate. The taxpayer is contacted via a written letter received through the mail. If the taxpayer was represented the POA is contacted. They are informed of the survey, asked to visit a website created by the vendor and can access it through a specialized code provided solely to them.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

Information on the "optional" aspect is provided on the site. A statement that the survey is "optional/voluntary" will appear on the website.

How will the Survey be conducted?

Web Based

Explain the procedure:

The taxpayer or POA is contacted via letter informing them of their selection to participate in the survey. They are provided a specific code to use when visiting the vendor website to take the survey. If they do not take the survey online the vendor will attempt to reach them via telephone to take the survey.

Phone

Explain the procedure:

See above

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Both

Provide the name of the IRS office:

Office of Appeals

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

Both

Provide the name of the contractor/vendor:

ICF International

Has a Contracting Officer or 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.

Contractor Users: Read-Only Moderate

Contractor Managers: Administrator Moderate

Contractor Developers: Read and Write Moderate

Contractor Sys. Admin.: Administrator Moderate

INFORMATION PROTECTION

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

From the vendor, Appeals will receive an initial, three-page summary report of the completed survey highlights and then a comprehensive National Report. The vendor also provides sub-reports on specified areas that excludes any identifying information about the taxpayer. Appeals never receives any specific taxpayer information from the vendor in relation to the survey. The vendor provides statistics as "respondents" via the reports, or with the unique identifier (via electronic transmission), without any reference to PII data.

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?

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 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. GRS may be superseded by IRS specific RCS in the future. The contractor retains all survey information for at least one-year. The one-year time period begins once Appeals deems the survey reports to be accepted as "Final." The telephone contact records are destroyed each year, while other data is maintained on secure servers. It is our understanding that the IRS Blanket Purchase Agreement office oversees the clearance of the approved IRS survey vendors, as well as performing any auditing procedures.

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?

Appeals transmits all data to the vendor electronically. The electronic transfer is performed by authorized Information Technology specialists, via transfer protocols. No SSN or EIN numbers are sent to the vendor. The vendor places all files on their IRS-approved secure, controlled access server. The vendor is required, per the contract, to keep all raw and collected data in a safe and secure environment. Site inspections of the vendor's facility are conducted by IRS staff to ensure all Federal and IRS requirements for physical and I.T. security is in place. All information is transmitted to and from the vendor in electronic formats. The vendor transmits completed reports to Appeals electronically. These reports do not contain PII information and only list the survey results as "respondents."

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.

The vendor places all files on their IRS-approved secure, controlled access server. No Taxpayer Identification Numbers are provided to the vendor. The vendor is required, per the contract, to keep all raw and collected PII data in a safe and secure environment, per Blanket Purchase Agreement (BPA) requirements and reviews. See below

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

All data is sent electronically.

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.

See above. The IRS customer satisfaction survey process - for all Operating Divisions - is administered by a Blanket Purchase Agreement (BPA) and the BPA office. The BPA office performs all such reviews of the approved vendors and their systems for the surveys - Appeals is not involved.

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