

Survey PCLIA ID Number: 4437  
Date of Approval: October 21, 2019

## **SURVEY DESCRIPTION**

*Full name and acronym of the Survey.*

Federal Employee Tax Compliance Outreach Customer Satisfaction Survey, SU-4437

*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?*

Yes

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

Annual, for 3 years. Initial requested operational dates will be during October 2019 - February 2020. Subsequent years dates are to be determined, but most likely during the same October - February timeframe.

*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.*

Conduct a survey to determine customer satisfaction with federal employee tax compliance presentations provided to federal agencies. Outreach will allow Federal Employee/Retiree Delinquency Initiative (FERDI) to address increased delinquency rates for select federal agencies. The survey will assist with the assessment of the impact of the outreach.

## 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

Phone Numbers

E-mail Address

Employment Information

*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):*

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:*

SB/SE Research Privacy Policy - Our authority for conducting the survey is 5 USC 301. 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. If you do not participate, we will not be able to benefit from your input. 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.

## **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:*

The email addresses will be provided to SB/SE Research from SB/SE Collection. SB/SE Collection will collect an attendance roster in which presentation participants will be asked to complete.

## 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:*

The survey will be administered to the Federal agencies that participated in the presentations.

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

There is no random selection. We will administer the survey to the population of Federal agencies that attended the presentations.

*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.)

*Is the Survey voluntary?*

Yes

*How is notice given that the Survey is optional?*

Participants are notified that the survey is voluntary as follows: 1) email notifications/reminders, 2) introduction page of the survey, and 3) privacy policy.

*How will the Survey be conducted?*

Web Based

*Explain the procedure:*

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."

## **SURVEY PROCESS**

*Does the IRS administer or perform analysis of the survey?*

Both

*Provide the name of the IRS office:*

SB/SE Research - Team 1

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

Neither

## **INFORMATION PROTECTION**

*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.

*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 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 approved retention periods. The Chief, SB/SE Research - Team 1 will be notified via email once the records are destroyed. 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 in accordance with IRS Document 12829 along 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. SB/SE Research has proposed a three-year retention 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 Information Systems & Organizations (Media Protection, Media Storage, System and Information Integrity) NIST Special Publication 800-88 CSS BPA contract Section Secure Data Transfer (SDT) Requirement CSS BPA contract IRSAP clause 1052.224-9000(c).

## **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?*

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.

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

No

## **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