

Survey PCLIA Report

Date of Approval: April 25, 2017

Survey PCLIA ID Number: **2571**

A. Survey Description

1. Full name and acronym of the Survey. SSA Identity Proofing Customer Satisfaction Survey, SSA ID Proofing CSAT

2. Is this a Survey, Telephone Interview or Focus Group? Survey

3. Is this a new Survey? Yes

4. Is this a reoccurring Survey? No

4.b. If no, provide the dates collection of information will begin and end. 5/1/2017 to 12/31/2017

5. Does this Survey have an SOI (Statistics of Income) control number? Yes

5.a. If yes, enter the number. CS-17-483

6. Does the Information Collection Request require OMB Clearance? Yes

6.a. If yes, what is the OMB Clearance number? 1545-1432

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.
The SSA ID Proofing point of service survey will measure taxpayers satisfaction with the ID proofing process, the convenience of leveraging SSA offices, and issue resolution. This information will be used to ensure that the SSA ID Proofing Pilot is meeting the needs of taxpayers who are eligible for the service. Information collected from the point of service customer satisfaction survey will be used to provide meaningful feedback to managers and staff for Field Assistance (FA). This survey will assist in assessing overall customer satisfaction and overall quality for balanced measures.

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)? 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).

<u>SORNS Number</u>	<u>SORNS Name</u>
IRS 00.001	Correspondence Files and Correspondence Control Fi
IRS 00.003	Taxpayer Advocate Service and Customer Feedback an
IRS 22.026	Form 1042S Index by Name of Recipient
IRS 24.030	Customer Account Data Engine Individual Master Fil
IRS 24.046	Customer Account Data Engine Business Master File,
IRS 34.037	IRS audit trail and security records system to eac

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. The surveys will include the following information: The authority requesting the information is 5 USC 301. The primary purpose of asking for the information is to determine steps IRS can take to improve our service to you. The information may be disclosed as authorized by the routine uses published for the Privacy Act System of Records entitled, Treas/IRS 00.001 Correspondence Files, including Stakeholder Partnership File, and Correspondence Control Files, as published in the Federal Register: December 10, 2001 (Volume 66, Number 237)] [Notices] pages 63785-6. Providing the information is voluntary. Not answering some or all of the questions will not affect you.

D. Responsible Parties

10. Identify the individuals for the following Survey roles: ## 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? No

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

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

G. Survey Participation

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. The sampling frame consists of taxpayers who receive an appointment at a pilot SSA office to resolve an Identity Theft notice. This notice requires the taxpayer to verify their identity at an IRS office. All taxpayers with an appointment at an SSA office will be offered this voluntary survey after their interaction with the SSA representative.

16. How are participants notified of the Survey? Participants are asked to participate by the SSA representative after their contact.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? The SSA representative will use a script to invite taxpayers to participate and inform the taxpayer that it is a voluntary survey.

18. How will the Survey be conducted?

No Electronically

No Web Based

No Phone

No Mail

Yes Other

Please explain. Paper survey, point of service

G.1. Survey Process

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. W&I Strategies & Solutions Research Group 1

Provide the name of the IRS office.

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

I. Information Protection

21. What information/results will be provided to the business owners (IRS Requestors) of the Survey? No information will be provided that would allow the IRS to identify the taxpayers who participate in the survey. The information and results will include: customer satisfaction rates, issue resolution rates, key themes from taxpayer experiences, suggestions for improvement, and proposed changes to the SSA service delivery process at the completion of data collection.

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

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

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? 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.

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. When approved by the National Archives and Records Administration (NARA), it is anticipated that instructions for this survey will include retentions for the datasets/raw data, background documentation, and summary/final reports. Cyber-security and National Institute of Standards and Technology (NIST) standards for records retention requirements state that documents must be securely maintained for seven years prior to destruction. These requirements will obviously be considered in drafting a final request for records disposition authority for NARA submission and approval. Reference other data security guidance/policy: 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 equipment CSS BPA contract IRSAP clause 1052.224-9000(c).

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? No PII data will be collected during administration. All data will be entered and securely stored on an encrypted IRS server. Completed paper surveys will be mailed to Research using UPS overnight mail and will be double packaged with a shipping label on the internal package and external package to ensure no data is lost in transit.

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

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

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

End of Report
