

Survey PCLIA ID Number: 4000
Date of Approval: May 01, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

Privacy Collection Agency Survey, SU-4000

Type of Survey:

Telephone Interview

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:

PCLIA #2293, Private Collection Agency Survey, PCA Survey

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

PCA OMB #1545-1432, PCA OMB Control # CS-18-490

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

3/29/2017 12:00:00 AM

Indicate the changes that require this update:

PCLIA Expired

OMB Required Update

Were there other changes not listed above?

No

Is this a reoccurring Survey?

Yes

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

April 2019 - March 2022

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

Yes

Enter the SOI Control Number:

CS-18-490

Does the Information Collection Request require OMB clearance?

Yes

What is the OMB Clearance number?

1545-1432

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.

Pursuant to the Fixing America's Surface Transportation (FAST) Act of 2015, IRS is required to hire Private Collection Agencies (PCAs) to collect delinquent taxes where there has been no collection action in over 12 months. This covers tax debts owed that are currently not being worked by the IRS. The PCA phone survey will collect information regarding taxpayer satisfaction with their interaction with the PCA. In addition to the objective of measuring customer satisfaction to meet a balanced measures requirement, Private Debt Collection (PDC) management is motivated to use survey results to identify improvement opportunities and as the basis for enacting improvements. PDC has already contracted with four PCAs to collect delinquent taxes that are over a year old. These PCAs will call the taxpayers to discuss payment options. Once these PCA calls are completed, a select number of these calls will be asked if they would like to take a voluntary survey regarding the service that was just provided to them by the PCA. If they agree to take the

survey, the call will be transferred to an automated survey which is administered by an independent contractor. Since the call is transferred from the PCA directly to the automated system, the Small Business/Self Employed (SB/SE) contractor (ICF International) will not be collecting PII from the taxpayer.

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.)?

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 26.019 Taxpayer Delinquent Account 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:

Privacy policy statement -Thank you for participating in this voluntary survey. Your input will assist the IRS to improve its collection services for callers like you. This survey is being conducted by an independent, third-party organization. All answers will be kept anonymous to the extent allowed by law. There are no penalties for not answering some or all of the survey questions.

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?

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.

Private Collection Agencies (PCAs) contact the taxpayers by phone to collect delinquent taxes. At the end of the each call the PCA asks the taxpayer if they would like to take a survey. If they agree the call is transferred to an automated system that administers the survey.

How are participants notified of the Survey?

At the conclusion of each call, the participant is asked if they would like to participate in a voluntary survey.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

Before transferring the participant to the survey, the PCA asks if they would like to participate in a voluntary survey.

How will the Survey be conducted?

Phone

Explain the procedure:

If taxpayer agrees to take the survey, the call is live transferred to a toll-free dedicated contractor number at the conclusion of the call with the PCA, where the survey is administered.

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Analysis

Provide the name of the IRS office:

Small Business/Self Employed (SB/SE) Research Team 4

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

Administer

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.

No

If no, please explain.

Contractor will not have access to PII info.

INFORMATION PROTECTION

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

An annual report containing analysis of the combined results of the survey questions will be provided to the business owner.

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. Cyber-security and National Institute of Standards and Technology (NIST) for records retention requirements state that documents must be securely maintained for seven years prior to destruction or until the end of the contract term (Period of Performance). These requirements will be considered in drafting a final request for records disposition authority for NARA submission and approval.

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?

No taxpayer PII is collected for the survey.

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 data is transferred between the contractor and the IRS using a secure electronic file transfer utility (EFTU).

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

Data is always transferred electronically via secure EFTU.

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 is data is stored or housed at the contractor's site.

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