

Survey PCLIA Report

Date of Approval: March 29, 2017

Survey PCLIA ID Number: **2293**

A. Survey Description

1. Full name and acronym of the Survey. Private Collection Agency Survey, PCA Survey
2. Is this a Survey, Telephone Interview or Focus Group? 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 Moderators Guide will be requested by the Privacy Analyst.

3. Is this a new Survey? Yes
4. Is this a reoccurring Survey? Yes
 - 4.a. If yes, list the schedule or requested operational date(s) of when the Survey will be administered. April 2017-March 2018
5. Does this Survey have an SOI (Statistics of Income) control number? Yes
 - 5.a. If yes, enter the number. CS-17-481
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. Pursuant to the 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 contractor will not be collecting PII from the taxpayer.

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.)? Yes

8.a. If yes, specify the information.

<u>Selected</u>	<u>PII Element</u>	<u>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>
Yes	Name	Yes	No	No
Yes	Mailing address	No	No	No
Yes	Phone Numbers	No	No	No
No	E-mail Address	No	No	No
No	Date of Birth	No	No	No
No	Place of Birth	No	No	No
No	SEID	No	No	No
No	Mother's Maiden Name	No	No	No
Yes	Protection Personal Identification Numbers (IP PIN)	No	No	No
No	Internet Protocol Address (IP Address)	No	No	No
No	Criminal History	No	No	No
No	Medical Information	No	No	No
No	Certificate or License Numbers	No	No	No
No	Vehicle Identifiers	No	No	No
No	Passport Number	No	No	No
No	Alien (A-) Number	No	No	No
No	Financial Account Numbers	No	No	No
No	Photographic Identifiers	No	No	No
No	Biometric Identifiers	No	No	No
No	Employment (HR) Information	No	No	No
No	Tax Account Information	No	No	No

8.b Are there other types of PII collected in the Survey? No

8.c. Is any PII data collected, disclosed, or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate? 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>
Treas 26.019	Taxpayer Delinquent Accounts Files

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. 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. (Solicitations are currently being offered and once selected will be posted to irs.gov on the customer's satisfaction

survey page). 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.

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

11.1. 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. PCAs will be contacting taxpayers by phone to collect delinquent taxes. IRS will create a sample plan, using a skip interval for calls lasting 10 minutes, for the PCAs to invite taxpayers to take the a voluntary survey to comment on the service they received. If taxpayer accepts to take the survey, the call will be live transferred to a toll-free dedicated contractor number at the conclusion of the call where the PCA survey will be conducted. At the end of each selected call, the IRS monitor notifies the IRS customer service representative that the call has been selected for inclusion in the survey. Taxpayers are asked if they would like to participate in a voluntary survey. Callers who agree to participate are transferred to the IRS monitor, who then transfers the customer into an automated survey.

16. How are participants notified of the Survey? Participants who are contacted by PCAs (by phone) will be invited to take a voluntary survey to answer questions regarding the service they received from the PCAs.

17. Is the Survey voluntary? Yes

If 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.

18. How will the Survey be conducted?

No Electronically

No Web Based

Yes Phone

Explain the procedure. PCAs will be contacting taxpayers by phone (interactive voice response system)(IVR) to collect delinquent taxes. IRS will create a sample plan, using a skip interval for calls lasting 10 minutes, for the PCAs to invite taxpayers to take the a voluntary survey to comment on the service they received. If taxpayer accepts to take the survey, the call will be live transferred to a toll-free dedicated contractor number at the conclusion of the call where the PCA survey will be conducted. At the end of each selected call, the IRS monitor notifies the IRS customer service representative that the call has been selected for inclusion in the survey. Taxpayers are asked if they would like to participate in a voluntary survey. Callers who agree to participate are transferred to the IRS monitor, who then transfers the customer into an automated survey.

No Mail

No Other

G.1. Survey Process

19. Does IRS administer or perform analysis of the survey? Analysis

Provide the name of the IRS office performing analysis of the survey. SBSE Research - Team 4

20. Does Contractor/Vendor administer or perform analysis of the survey? Yes

Contractor/Vendor: Administer

Provide the name of the Contractor/Vendor. Contract has not been awarded yet. It will be awarded to one of three (XXX, XXX, XXX XXX) BPA contractors.

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

20.a.1. All applicable FAR requirements are met to engage a contractor to perform the survey. Yes

20.a.2. That all required "non-disclosure" clauses are contained in the contract. Yes

20.a.3. 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

20.a.3.a. If no, please explain. Contractor will not have access to PII info.

20.b. If 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	Yes	Read and Write	Moderate
Contractor Managers	No		
Contractor Sys. Admin.	No		
Contractor Developers	No		

I. Information Protection

21. 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.

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 surveys Servicewide) will be drafted with the assistance of the IRS Records and Information Management 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, as appropriate. Cyber-security and NIST standards 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), whereas the participation of the contractor under the CSS BPA has been terminated. These requirements will obviously be considered in drafting a final request for records disposition authority for NARA submission and approval.

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 taxpayer PII is collected for the survey.

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

28.a. If 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 electronic file transfer utility (EFTU) used to transfer data between contractor and IRS is Axway.

28.b. If yes, 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 sent electronically via Axway.

28.c. If yes, 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 contractors use regarding the physical and electronic security and protection of the data before, during, and after the survey. No PII data is stored or housed at the contractor's site.

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
