

Survey PCLIA Report

Date of Approval: 10/11/2017

Survey PCLIA ID Number: **2893**

A. Survey Description

1. Full name and acronym of the Survey. Indian Tribal Governments (ITG) and Tax Exempt Bonds (TEB) Customer Satisfaction Survey, N/A

2. Is this a Survey, Telephone Interview or Focus Group? 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 Moderators Guide will be requested by the Privacy Analyst.

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. October 2017-December 2019

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

5.a. If yes, enter the number. CS-17-487

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. TE/GE collects feedback via the survey instrument to track customer satisfaction over time and identify improvement opportunities.

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

No PII Elements found.

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>
50.222	Tax Exempt/Government Entities (TE/GE) Case Manage
34.037	IRS Audit Trail and Security Records System

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? No

9.1.b. If no, please add the Disclosure office agreement date? 9/7/2017

D. Responsible Parties

10. Identify the individuals for the following Survey roles: (System Owner = Survey Owner/Business Owner). ## 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)? Yes

11.a. If yes, list the source that the PII is extracted or derived from.

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
Returns Inventory Classification System	Database	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. The contractor will send the questionnaires based on monthly extracts of closed cases received from the IRS to (a sample or census as appropriate) TEB and ITG customers. When sampling is appropriate, the contractor will use at least 90% confidence interval and 5% precision for each type on a biennial basis. Otherwise, when a complete census is appropriate, surveys are sent to all customers on the monthly extract list. For Examinations, the survey will exclude cases closed by the Appeals division, cases closed with either of two disposal codes (claims allowed in full and

referrals to other Operating Divisions), and cases with international addresses. Finally, the contractor will not send a questionnaire to any customer that received one in the last six months.

16. How are participants notified of the Survey? They are mailed a letter.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? It is stated in the letter

18. How will the Survey be conducted?

Yes Mail

Explain the method for choosing participants. The contractor will send the questionnaires based on monthly extracts of closed cases received from the IRS to (a sample or census as appropriate) TEB and ITG customers. When sampling is appropriate, the contractor will use at least 90% confidence interval and 5% precision for each type on a biennial basis. Otherwise, when a complete census is appropriate, surveys are sent to all customers on the monthly extract list. For Examinations, the survey will exclude cases closed by the Appeals division, cases closed with either of two disposal codes (claims allowed in full and referrals to other Operating Divisions), and cases with international addresses. Finally, the contractor will not send a questionnaire to any customer that received one in the last six months.

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. TE/GE CP&C Research

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

Contractor/Vendor: Administer

Provide the name of the Contractor/Vendor. ## Official Use Only

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. Yes

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-Only	Moderate
Contractor Managers	Yes	Read-Only	Moderate
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? The contractor will provide the business owner the survey responses along with some demographic case variables. All identifying information will be stripped from the file before sending to the IRS to ensure anonymity.
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? No
- 26.b. If No, how long are you proposing to retain the records? Please note, if you answered no, you must contact the IRS Records and Information Management Program to initiate records retention scheduling before you dispose of any records in this Survey. The Customer Satisfaction Survey for ITG and TEB is unscheduled. A request for records disposition authority for this Survey (and other similar external surveys Service-wide) will be 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, 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 it is stored and protected? Cyber-security and National Institute of Standards and Technology (NIST) require data to be transferred via password protected encrypted disk via FedEx overnight mail (including return acknowledgement form,) through the Electronic File Transfer Unit (EFTU), or using the Secure Zip data transfer method. Although EFTU and Secure Zip are preferred, all methods are used. Any time a bulk file encryption is used, requiring the sharing of an encryption phrase, the pass phrase will be communicated separately from the email/package, with an alternate method to communicate, e.g., phone call to communicate the pass phrase.

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. All data is required to be segregated from other non-IRS data. In addition, all data at rest or in transport must be encrypted. Whenever information is stored on IT assets at the facility, the contractor must be compliant with the implementation of NIST 800-53, Recommended Security Controls for Federal Information Systems & Organizations controls.

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. n/a

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 uses regarding the physical and electronic security and protection of the data before, during, and after the survey. All data is required to be segregated from other non-IRS data. In addition, all data at rest or in transport must be encrypted. Whenever information is stored on IT assets at the facility, the contractor must be compliant with the implementation of NIST 800-53, Recommended Security Controls for Federal Information Systems & Organizations controls.

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
