

# Survey Privacy Impact Assessment (PIA)

Authority: Office of Management Budget (OMB) Memorandum (M) 03-22, OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002 & BRRM PVR #10- Privacy Accountability and #21-Privacy Risk Management, and the Privacy Act of 1974 (as amended).

SOI control number (if applicable)

CS 16-476

Date

11/7/2016

## Section I - Introduction

Full survey name, and acronym (if this is a reoccurring survey, show date)

2017 Virtual Service Delivery Survey

General business purpose of survey (provide a clear, concise description of the survey, why it's needed, the benefits to the mission of the service)  
The Virtual Service Delivery (VSD) point of service survey will measure taxpayers' satisfaction with the VSD service offered as well as resolution, willingness to use this service channel in the future, and the VSD appointment experience. This information will be used to ensure that VSD is meeting the needs of taxpayers who are using the service. Information collected from the point of service customer satisfaction survey will be used to provide meaningful feedback to managers and staff for FA. This survey will assist in assessing overall customer satisfaction and overall quality for balanced measures.

List all System of Records Notices (SORN) that apply. (SORN review required)

IRS 00.001 Correspondence Files and Correspondence Control Files

IRS 00.003 Taxpayer Advocate Service and Customer Feedback and Survey Records

IRS 22.026 Form 1042S Index by Name of Recipient

IRS 24.030 Customer Account Data Engine Individual Master File

IRS 24.046 Customer Account Data Engine Business Master File, formerly (BMF)

IRS 34.037 IRS audit trail and security records system to each one

Requested operational date

1/1/2017

## Section II – About The Survey

1. Who will the survey be administered to

a. IRS employees, managers or executive service

☐ Yes ☒ No

i. List all PII data used in the survey, or to select participants (PII data includes information that can be linked to an individual by using other information. Data does not have to be linked by the IRS to be PII data. Data in the contractor's custody that is never requested by the IRS may also be PII data. Read the web page at [http://irweb.irs.gov/AboutIRS/bu/pipds/pip/privacy/privacy\\_art/8352.aspx](http://irweb.irs.gov/AboutIRS/bu/pipds/pip/privacy/privacy_art/8352.aspx) before answering this question)

n/a

b. Taxpayers

☒ Yes ☐ No

i. List all PII data used in the survey, or to select participants

No PII data will be collected by the survey or used to select participants.

c. Others

n/a

2. Explain how participants are selected (detailed description on method & reason of selection, if random, explain)

The sampling frame consists of taxpayers who make an appointment at a VSD partner location. To minimize burden, the survey will be offered every other day that the VSD sites are open. All participants who have scheduled appointments on data collections days will be offered the survey after they complete their VSD appointment.

a. List the IRS, Treasury or other Government system(s), applications or data bases that the employee/taxpayer PII data is extracted or derived from. If data comes from other sources, describe the source of the information

n/a

3. Is the survey voluntary

☒ Yes ☐ No

a. How is notice given that the survey is optional

The CSR script to invite taxpayers to participate as well as the introduction on the paper survey inform the taxpayer state that it is a voluntary survey.

4. Is any Personally identifiable Information (PII)/data collected, disclosed or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate

☐ Yes ☒ No

5. How will the survey be conducted

a. Electronically (*explain delivery method & if cookies are used*)

n/a

b. Phone (*explain procedure, and provide script*)

n/a

c. Mail (*explain method for choosing participants, and provide example of cover letter to the participants*)

n/a

d. Other

The survey will be offered via paper after the taxpayer has completed their VSD appointment. CSR script: You have been selected for an anonymous IRS improvement survey. It will take under five minutes to complete. Would you like to participate in this voluntary survey? If yes, the CSR will inform the taxpayer where to pick up the paper survey and what to do with it when they have finished.

6. Who will conduct the survey? Please provide a copy of the contract

a. IRS conducted (*name the office that will conduct the survey*)

W&I Strategies and Solutions, Research Group 1 will conduct the survey.

b. Contractor conducted

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

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

☐ Yes ☐ No

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

☐ Yes ☐ No

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 ☐ No

ii. If question 6b(i) contains any "no" answer, please explain

n/a - no contractor used for administration

iii. What is the level of background investigation completed on contractor employees prior to access to PII information about employees or taxpayers? Any contractor or subcontractor who will have access to employee or taxpayer PII data, must have at least a "Moderate Risk" (NACIC) investigation

n/a

c. What information/results will be provided to the business owners (*IRS requestors*) of the survey? We need to know that the employees or taxpayers who will participate cannot be identified under any circumstances, and no adverse actions can be taken against participants regarding their answers

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, areas of taxpayer interest for additional assistance, suggestions for improvement, and proposed changes to the VSD service delivery process at the completion of data collection.

d. 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

No raw data will be provided.

e. If any employee or taxpayer identifiers will be provided to the business owner, explain the business reason  
n/a

7. How does the administration of the survey guarantee that the PII data regarding employees or taxpayers will not be compromised, lost or stolen. Explain Office of Cyber security approved security & encryption used if data is transferred from IRS office to contractors, and back to the IRS. If data is not sent electronically, include in detail, information about commercial courier services, or U.S. mail used to ship paper, tapes or electronic media back and forth from the IRS to contractors. Ensure that Cyber security approves the security and data encryption process used by the contractor

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.

8. How is the survey PII data protected and stored? If data is housed at a contractor's site, on contractor's computers, give detailed information about the physical and electronic security & protection of the data before, during, and after the survey

No PII data will be collected. All data will be entered and securely stored on an encrypted IRS server.

9. Are any external resources used to create the database of participants ☐ Yes ☒ No

10. Are the survey results disclosed with any other Federal or State government offices ☐ Yes ☒ No

If yes, explain

#### 11. Survey Records - Retention and Disposal (*Records Retention review required*)

a. Cite any business owner policy IRM Chapter (including Sections/subsection) and Record Control Schedule (RCS, including item number) that describes how the data is retained, stored and disposed of

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 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 (SDT) equipment CSS BPA contract IRSAP clause 1052.224-9000(c)

b. Explain how long any PII data will be retained by the contractor if they are conducting the survey on behalf of the IRS. The IRS Records Office can provide guidance on IRS requirements for records retention. All legal requirements that apply to IRS records (*and non-records*) must be followed by contractors)

n/a

12. Based on the information you have provided above, does the survey require a Privacy Act Notice to be provided to participants?

Office of Disclosure will help you determine the need for a Privacy Act Notice or see IRM 11.3.16 Disclosure of Official Information, Privacy Act Notification Programs (*provide the Office of Privacy a copy of the Privacy Act Notice if one is required for this survey*)

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.