

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)

DOI-15-001

Date

September 23, 2015

Section I - Introduction

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

Affordable Care Act Employer Information Reporting Readiness 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)

IRS is developing a voluntary, anonymous, ACA Information Returns Readiness Survey to be placed as an embedded link on its AIR webpage on IRS.gov to better understand the readiness of employers, insurance providers, and software developers/transmitters to file ACA information returns beginning in early 2016. The information from this survey will assist the IRS with understanding the readiness of stakeholders to submit the returns, what additional information will be helpful to ensure stakeholder readiness and how best to communicate the information with stakeholders. The survey will be available beginning in early October 2015.

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

IRS 10.004—Stakeholder Relationship Management and Subject Files

Requested operational date

September 30, 2015

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 before answering this question)
N/A

b. Taxpayers

Yes No

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

Email Addresses of External Stakeholder organizations.

The survey is anonymous, and does not use any PII data nor track respondents' personal information. The survey will not be mailed out, instead a survey link will be created and embedded within an IRS.gov web page. The survey will be conducted anonymously and is optional. IRS relationship managers will advertise the survey via email to a few established business contacts who will then forward the email to their own points of contact, so no email addresses will be shared directly with taxpayers.

c. Others

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

Survey participants are not selected, but are open to all visitors to the IRS.gov webpages. Participation in the survey is voluntary, anonymous, and no PII is requested by IRS. An email advertising the survey will be sent out to external stakeholder organizations to advertise the survey, but the participation is voluntary.

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

No IRS databases will be used. IRS relationship managers will advertise the survey via email to a few established business contacts who will then forward the email to their own points of contact (i.e., associations, government entities), so no email addresses will be shared directly with taxpayers. (List of contacts is attached for reference)

3. Is the survey voluntary Yes No

a. How is notice given that the survey is optional

A welcome message and description of the survey will be embedded in the AIR webpage (part of IRS.gov), and respondents will have to click on a button agreeing to take the survey (Yes, I will provide feedback) or no, thanks. If the respondent clicks yes, the survey will activate.

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*)

The survey will be administered by an outside contractor via an embedded link on an IRS.gov webpage (AIR).

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

IRS relationship managers will advertise the survey via email to a few established business contacts who will then forward the email to their own points of contact (i.e., associations, government entities), so no email addresses will be shared directly with taxpayers. (List of contacts is attached for reference)

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

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

n/a

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

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

Low Risk

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

Monthly high level statistics of responses will be provided by the contractor to the IRS survey requestors via email. Also, some IRS requestors will have password/user id access to the contractor's data results web portal to view individual survey comments. All survey responses are anonymous, and there is no way to track or link responses back to any individual taxpayer. Further, the contractor's system automatically removes any PII in open-text responses.

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

Yes. This survey does not collect or use any taxpayer PII.

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

Taxpayer PII is not used for this survey. Any PII provided by the survey respondent via open text fields in the survey, the contractor's system will automatically delete any PII so neither IRS nor the contractor has access to any PII provided by survey respondents.

The emails will go out to established business contacts who will then forward to their own points of contact, so no email addresses will be shared.

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

The contractor houses the survey responses on its web portal, which only approved IRS users can access with user id and password. Any data obtained from the portal is saved on a secured IRS computer in the SBU folder, just as an extra precaution. However, no PII data is requested by the survey and any PII provided by respondents is automatically scrubbed from the results by contractor's software.

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

The ACA Employer Information Reporting Readiness Survey is unscheduled. A request for records disposition authority for this Survey (and other similar external/internal surveys Service wide) will be drafted with the assistance of the IRS Records and Information Management (RIM) Program Office. When approved, Survey data destruction will be carried out in accordance with approved disposition instructions, and IRM 1.15.6, Managing Electronic Records.

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)

Disposition of records created by the Internal Revenue Service, including those records created by all Service employees and contractors performing agency functions, is controlled using the Service-wide Records Control Schedules. By that token, Survey records created and/or maintained by a contractor on behalf of the Service must follow the same records disposition authority submitted to/approved by NARA...TBD. At the completion of the vendor contract, Survey records still in existence will be surrendered by the contractors to designated persons in IRS or will be transferred to another contractor with the express permission and instructions from IRS staff responsible for the records.

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 only reason for a privacy notice is to re-iterate to survey respondents that the survey is anonymous, their privacy is protected, and that they should not be submitting any personal or tax information in the survey fields.