

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)

SOI-503

Date

11/10/2016

Section I - Introduction

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

Campus Correspondence Exam (CCE) Focus Group

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 focus group will be conducted to concentrate on the CCE process and how to improve the audit process, since we know that taxpayers want to communicate with IRS on-line. The information collected will help the IRS provide better service to customers. We want to make sure that we have captured the key factors that drive taxpayer satisfaction with interactions with IRS Campus Exam staff.

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

00.001: Correspondence Files and Correspondence Control Files

00.003: Taxpayer Advocate Service and Customer Feedback and Survey Records

22.062: Electronic Filing Records

24.030: Customer Account Data Engine Individual Master File

24.046: Customer Account Data Engine Business Master File, formerly BMF.

34.037: IRS audit trail and security records system

42.001: Examination Administrative File

42.008: Audit Information Management System (AIMS)

Requested operational date

January 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 before answering this question)

b. Taxpayers

Yes No

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

Taxpayer's Name, Street Address, City, State, Zip-Code, E-Mail Address & Phone Number

c. Others

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

Taxpayers who completed the CCE survey and indicated that they were interested in participating in additional in-depth research on tax-related issues provided their phone number and/or email address at the end of the CCE survey. Participants for the CCE focus group were selected from those who provided their phone number/email address on the CCE survey.

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
 The contractor has a list of taxpayer volunteers who provided their PII info (phone number/email address) on a previous CCE survey they completed.

3. Is the survey voluntary Yes No

a. How is notice given that the survey is optional
 Participation in focus groups is optional. Taxpayers will provide their phone number/email address at the end of the CCE survey if they are interested in participating in focus groups.

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*)

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

The Focus Group is conducted by phone. The contractor provides the moderator's script and screener for OMB approval prior to conducting the focus group. The screener is used to select no more than 9 participants for the focus group.

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

d. Other

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

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

Contractor: [REDACTED]

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

The level of background investigations completed on the contractor and its employees prior to access to PII information about taxpayers range from Low to Moderate Risk, depending upon the position descriptions submitted to CSM. This will include the NACIC check as well as any other IRS checks related to being a lawful permanent registrant, registering for the military, and financial checks.

Under the Customer Satisfaction Survey (CSS) Blanket Purchase Agreement (BPA), some of the contractor employees who work on the IRS project do not have access to the IRS owned SBU/PII data. The level of background investigation is determined by the position description document that is submitted to Contractor Security Management (CSM) and reviewed by Personal Security as to whether a low or moderate investigation is required.

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

The information collected by the contractor from the focus group will provide insights into taxpayer perceptions, experiences and expectations, provide an early warning of issues with service, or focus attention on areas where communication, training or changes in operations might improve

customer satisfaction. Participants cannot be identified and no adverse actions will be taken against them regarding their focus group 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

No 'raw' or un-aggregated data will be provided to any IRS office.

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

No taxpayer identifiers will be provided to the Business Owners.

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

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, currently all methods are being 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 pass phrase.

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

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.

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 CCE focus group is unscheduled. 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 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.

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) Requirement

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)

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, Campus Correspondence Exam records created and/or maintained by the vendor 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, Campus Correspondence Exam 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. All records that have reached their final disposition and are eligible for destruction may be properly disposed of using preapproved methods and appropriately witnessed and then submitting a form similar to or same as the Standard Form 1428, Inventory Disposal Schedule to designated IRS officials.

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*)
Yes, updated privacy notices, which were approved by the Disclosure Office, are included on the survey instruments.