

Survey PCLIA ID Number: 4214
Date of Approval: August 15, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

ITG and TEB Customer Satisfaction Survey, SU 4214

Type of Survey:

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 Moderator's Guide will be requested by the Privacy Analyst.

Is this a new Survey?

No

Is there a PCLIA for this Survey?

Yes

Enter the full name, PCLIA ID and acronym of the most recent Survey PCLIA:

Indian Tribal Government (ITG) and Tax-Exempt Bonds (TEB) Customer Satisfaction Survey

Enter the reference number (include SOI, OPC, TCBC or Other

CS-17-487

What is the approval date of the most recent Survey PCLIA?

10/11/2017 12:00:00 AM

Indicate the changes that require this update:

OMB Required Update

Were there other changes not listed above?

No

Is this a reoccurring Survey?

Yes

List the schedule or requested operational date(s) of when the Survey will be administered.

October 2019-December 2020

Does this survey have an SOI (Statistics of Income) control number?

Yes

Enter the SOI Control Number:

CS-17-487

Does the Information Collection Request require OMB clearance?

Yes

What is the OMB Clearance number?

1545-1432

GENERAL BUSINESS PURPOSE

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.

This research is conducted as part of the Internal Revenue Service (IRS) agency-wide initiative to monitor and improve taxpayer satisfaction with the service provided. The objectives of this study are to track customer satisfaction with the Examination program over time and identify areas where improvements will have the greatest impact on customer satisfaction.

PII Details

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

Please specify the types of PII:

Name

Mailing address

Tax Account Information

Are there other types of PII collected in the Survey?

Yes

Describe the other types of PII that are applicable to this Survey:

Other PII that is collected when we run the queries on our database are whether or not an exam has been closed in the last month and what the results were.

Is any PII data collected, disclosed, or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate?

No

PRIVACY ACT & SYSTEM OF RECORDS

Is there a System of Records Notice(s) or SORN(s) that addresses the PII records in this Survey?

Yes

Enter the SORN number(s) and the complete name of the SORN(s):

IRS 00.001 Correspondence Files and Correspondence Control Files

PRIVACY ACT NOTICE

Based on the information you have provided, does the Survey require a Privacy Act Notice to be provided to the participants?

No

Please add the Disclosure office agreement date:

9/7/2017

RESPONSIBLE PARTIES

OFFICIAL USE ONLY

Incoming PII Interfaces

Does the employee/taxpayer PII come from the IRS, Treasury, or other Government system(s), application(s) or data base(s)?

Yes

List the source that the PII is extracted or derived from.

Name: Returns Inventory Classification System (RICS)

Transmission Method: A query is used within RICS to pull any organizations that have had an exam close in the last month. The data is then transferred to Excel and zipped.

ISA/MOU: No

Does the data come from other sources?

No

PII SENT TO EXTERNAL ORGANIZATIONS

Are the Survey results disclosed to any other Federal or State Government? (For example, the Federal Viewpoint Survey/Questionnaire - OPM gets the results.)

No

Are any external resources used to create the database of the participants?

No

SURVEY PARTICIPATION

Who will the Survey be administered to?

Taxpayers

Explain how participants are selected. Include a detailed description of the method and reason of selection. If selection is random, please explain.

All Indian Tribal Government and Tax-Exempt Bonds taxpayers who received an examination in the previous month are pulled from RICS and sent to the contractor. The contractor then excludes 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 in cases with international addresses. Finally, the contractor excludes any taxpayer that has been sent this specific survey in the last 6 months. After those customers are excluded a census of remaining cases are sent the survey.

How are participants notified of the Survey?

They are mailed a letter.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

It is stated in the letter and on the survey

How will the Survey be conducted?

Mail

Explain the method for choosing participants:

All Indian Tribal Government and Tax-Exempt Bonds taxpayers who received an examination in the previous month are pulled from RICS and sent to the contractor. The contractor then excludes 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 in cases with international addresses. Finally, the contractor excludes any taxpayer that has been sent this specific survey in the last 6 months. After those customers are excluded a census of remaining cases are sent the survey.

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Analysis

Provide the name of the IRS office:

TE/GE CP&C Issue ID and Research Group 1

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

Administer

Provide the name of the contractor/vendor:

Fors Marsh Group

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

That all applicable FAR requirements are met to engage a contractor to perform the survey?

Yes

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

Yes

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

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: Read-Only Moderate

Contractor Managers: Read-Only Moderate

INFORMATION PROTECTION

What information/results will be provided to the business owners (IRS Requestors) of the Survey?

The contractor will provide the Internal Revenue Service the survey responses along with the date the exam was closed and the outcome of the exam. All identifying information such as, employer identification numbers, mailing addresses, and names will be stripped from the file before sending to the IRS to insure anonymity.

Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances?

Yes

Can you confirm that no adverse actions can be taken against participants regarding the participant's answer?

Yes

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

Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey?

No

RECORDS SCHEDULE

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

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.

All records for the survey will be deleted or destroyed in accordance with approved retention periods. Any records will be managed according to requirements under IRM 1.15.1 and 1.15.6 and will be destroyed using IRS General Records Schedule (GRS) 6.5, Item 010 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. GRS may be superseded by IRS specific RCS in the future. Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. Seven years is required for business use.

DATA SECURITY

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?

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 SecureZip data transfer method. Although EFTU and SecureZip 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.

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

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 information technology 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.

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.

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 contractor 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 information technology 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.

CIVIL LIBERTIES

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

Will this Survey have the capability to identify, locate, and monitor individuals or groups of people?

No