

Survey PCLIA ID Number: 4334  
Date of Approval: October 11, 2019

## **SURVEY DESCRIPTION**

*Full name and acronym of the Survey.*

Wage & Investment E-help Desk Survey, SU-4334

*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:*

N/A, CAS E-Help Customer Survey

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

BU-16-420

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

4/13/2016 12:00:00 AM

*Indicate the changes that require this update:*

PCLIA Expired

*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.*

The survey is on a Blanket Purchase Agreement (BPA) that goes through 03/31/2021.

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

Yes

*Enter the SOI Control Number:*

BU-16-420

*Does the Information Collection Request require OMB clearance?*

Yes

*What is the OMB Clearance number?*

1545-2250

## **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.*

The purpose of this operational support contract is to continue the W&I e-help Desk Customer Satisfaction Survey Project that was initiated in FY2007. The FY2007 contract provided funding for Electronic Products and Services Support (EPSS) to determine baseline customer satisfaction with help desk services, to obtain information regarding customer needs, and to identify work processes that need improvement. An operation support contract is needed to continue this effort and to evaluate customer satisfaction levels over time.

## **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

Phone Numbers

E-mail Address

*Are there other types of PII collected in the Survey?*

No

*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
- IRS 00.003 Taxpayer Advocate Service and Customer Feedback and Survey Records
- IRS 22.062 Electronic Filing Records
- IRS 24.030 Customer Account Data Engine Individual Master File
- IRS 24.046 Customer Account Data Engine Business Master File
- IRS 34.037 Audit Trail and Security Records

## PRIVACY ACT NOTICE

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

Yes

*Please provide the Privacy Act Statement:*

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, 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.

## 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)?*

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?*

Yes

*Identify the external resources used to create the database, how the data is transmitted and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).*

Organization Name: Contractor's database for third party participants in interviews  
Transmission Method: Electronic File Transfer Utility (EFTU)  
ISA/MOU: 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.*

The participants call to the IRS for assistance with an IRS product or service and are asked to take the survey before they exit. If they say yes, they are connected to the contractor through a voice activated system where the provider can choose to take the survey or not.

*How are participants notified of the Survey?*

Participants are notified during the initial phone call to IRS E-Help Office.

*Is the Survey voluntary?*

Yes

*How is notice given that the Survey is optional?*

The service provider verifies that the taxpayer voluntarily agrees to participate in future surveys or focus groups.

*How will the Survey be conducted?*

Phone

*Explain the procedure:*

The taxpayer calls into the E-Help Desk Line for assistance with the e-Products and at the end of the call they are asked to take a survey and they take the survey.

## SURVEY PROCESS

*Does the IRS administer or perform analysis of the survey?*

Neither

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

Both

*Provide the name of the contractor/vendor:*

ICF INCORPORATED, L.L.C.

*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

Contractor Developers: Read-Only Moderate

Contractor Sys. Admin.: Read-Only Moderate

## INFORMATION PROTECTION

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

Only aggregated responses will be provided to the business owners. No identifying information will be provided.

*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.*

The E-Help Focus Group for Option Year 4 is scheduled. All survey records for the E-Help Focus Group for Option Year 4 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) 5.8, Item 010 and as coordinated with the IRS Records and Information Management (RIM) Program and

IRS Records Officer. Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is 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 (10/01/2016-03/31/2020), 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) equipment CSS BPA contract IRSAP clause 1052.224-9000(c). The Contracting Officer Representative (COR) will notify the PIA office.

## **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?*

Only aggregated results from the focus group will be provided to the business unit. No PII will be provided from the vendor. ICF project staff will ensure that participants' identities remain private to the extent permitted by law. Identifying information will be cleaned from the datasets prior to delivery to the IRS; this also includes identifying information provided by the callers in the form of open-ended comments.

*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 will be transferred through the Electronic File Transfer (EFTU).

*When data is not sent electronically, provide in detail the information regarding the transfer back and forth from the IRS to contractors?*

Data will only be 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 e-help survey data is received via secure transmission. Sensitive IRS data resides on a secure server, and the contractor will use the appropriate encryption to secure the data. The encryption method used will be disk, directory, or file level. Workstations that access and require working with sensitive data located on the secure server use the appropriate encryption method. The contractor utilizes a secure server to house IRS projects, and it is protected inside of an ICF's Login Protected Network. That can only be accessed by the contractor authorized personnel.

## **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