

Survey PCLIA Report

NOTE: The following reflects the information entered in the PIAMS website.

Date of Submission: Survey PCLIA ID Number: **4448**

A. Survey Description

1. Full name and acronym of the Survey. Customer Call Back Focus Group Research, SU4448
2. Is this a Survey, Telephone Interview or Focus Group? Focus Group

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 Moderators Guide will be requested by the Privacy Analyst.

3. Is this a new Survey? Yes

3.b. If no, is there a PCLIA for this Survey?

3.b.1. If yes, enter the full name, PCLIA ID, and acronym most recent Survey PCLIA.

3.b.2. If yes, enter the reference number (include SOI, OPC, TCBC, or Other).

3.b.3. If yes, enter the approval date of the most recent Survey PCLIA.

3b.4. If yes, indicate which of the following changes occurred to require this update.
(Check all that apply)

Addition of PII
Anonymous to Non-Anonymous
Contract changes/expires
PCLIA Expired
OMB Required Update

3.b.5. If yes, were there other changes not listed above?

3.b.5.a. If Yes, Please explain the changes.

4. Is this a reoccurring Survey? No

4.a. If yes, list the schedule or requested operational date(s) of when the Survey will be administered.

4.b. If no, provide the dates collection of information will begin and end. 10/01/2019-12/31/2019

5. Does this Survey have an SOI (Statistics of Income) control number? No

5.a. If yes, enter the number.

6. Does the Information Collection Request require OMB Clearance? Yes

6.a. If yes, what is the OMB Clearance number? 1545-2274

A.1. General Business Purpose

7. 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 reason for this focus group is to determine a baseline measure of satisfaction for help received during Customer Call Back (CCB) programming. Prior to requesting the focus group, the Contact Analytics branch of the Joint Operations Center (JOC) listened to unsolicited Customer Callback feedback from taxpayers through targeted keyword searches. However, it was quickly determined that this was not an advisable or sustainable way to gather feedback about the callback customer experience. Thus, the customer call back focus group was created. The purpose for doing the focus group is to solicit objective taxpayer feedback about the FY19 Customer Callback Tech Demo. JOC, Program Management Office (PMO) and Wage & Investment Operations and Support (WIOS) are currently discussing how to establish a permanent, broadscale callback-focused customer satisfaction survey for use in the Bridge and Enterprise solutions.

B. PII Details

8. 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

8.a. If yes, specify the information.

	<u>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>	<u>Selected</u>	<u>PII Element</u>
No	Name		No	No	No
No	Mailing address		No	No	No
Yes	Phone Numbers		No	No	No
Yes	E-mail Address		No	No	No
No	Date of Birth		No	No	No
No	Place of Birth		No	No	No
No	Standard Employee Identifier (SEID)		No	No	No
No	Mother's Maiden Name		No	No	No
No	Protection Personal Identification Numbers (IP PIN)		No	No	No
No	Internet Protocol Address (IP Address)		No	No	No
No	Criminal History		No	No	No
No	Medical Information		No	No	No
No	Certificate or License Numbers		No	No	No
No	Vehicle Identifiers		No	No	No
No	Passport Number		No	No	No
No	Alien Number		No	No	No
No	Financial Account Numbers		No	No	No
No	Photographic Identifiers		No	No	No
Yes	Biometric Identifiers		No	No	No
No	Employment Information		No	No	No
No	Tax Account Information		No	No	No
No	Centralized Authorization File (CAF)		No	No	No

8.b Are there other types of PII collected in the Survey? No

8.b.1. If yes, describe the other types of PII that are applicable to this Survey.

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

No

C. Privacy Act & System of Records

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

Yes

9a. If yes, enter the SORN number(s) and the complete name of the SORN(s).

SORNS Number

SORNS Name

IRS 00.001	Correspondence Files and Correspondence Contro
IRS 00.003	Taxpayer Advocate Service and Customer Feedback an
IRS 22.062	Electronic Filing Records
IRS 24.030	Customer Account Data Engine Individual Master Fil
IRS 24.046	Customer Account Data Engine Business Master File
IRS 34.037	IRS audit trail and security records system to eac

9b. If No, explain why the Survey does not have a SORN?

9c. If Other, explain your answer.

C.1. Privacy Act Notice

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

9.1.a. If 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, 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.

9.1.b. If no, please add the Disclosure office agreement date?

D. Responsible Parties

10. Identify the individuals for the following Survey roles: (System Owner = Survey Owner/Business Owner)

System Owner (SES level or above)		Subject Matter Expert (SME)	
Name	David C Cico	Name	Bobbie B Ngi
Title	Supervisory Management and	Title	Staff Assistant

	Program Analyst		
Phone Number	470-639-3107	Phone Number	470-639-3194
Email Address	david.c.cico@irs.gov	Email Address	bobbie.b.ngi@irs.gov

E. Incoming PII Interfaces

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

11.a. If yes, list the source that the PII is extracted or derived from.

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
IT UNS Contact Center Support (CCSD)	When a taxpayer accepts the callback option, they are transferred to a third-party callback tool, administered through Verizon on the contact center network.	No

11.1. Does the data come from other sources? No

11.1.a. If yes, describe the source of the information.

F. PII Sent to External Organizations

12. Are the Survey results disclosed to any other Federal or State Government? (For example the Federal Viewpoint Survey/Questionnaire – OPM gets the results.) No

12.a. If yes, identify who the information is disclosed to how the data is transmitted and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).
No Organization Records found.

13. Are any external resources used to create the database of the participants? No

13.a. If 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).
No Organization Records found.

G. Survey Participation

14. Will the Survey be administered to IRS, Taxpayers or Others ? Taxpayers

If Others, please explain.

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. Participants are chosen from a listing of people who completed the call back feature after making a call to IRS. There will be an incentive after their participation in the focus group. Each participant will be paid a \$75 eGift card incentive after their participation in the focus group.

16. How are participants notified of the Survey? Participants aren't initially notified at the time of the Customer Call Back feature that they'll be contacted for a survey. Taxpayers that called in with balance due questions and that opted to use the Customer Call Back feature are notified during a separate call that they've been selected for a voluntary survey.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? The initial call will let them know that the survey is voluntary.

18. How will the Survey be conducted?

No Electronically
Explain the delivery method & if cookies are used.

18.a.2. What application is used to create the survey?
(Survey Manager, Centra, Verint/Vovici, Live Meeting, ELMS, TEMPO, SharePoint, Other)

If SharePoint, is there a SharePoint PIA?

If Other, please explain.

No Web Based

Explain the delivery method & if cookies are used.

Yes Phone

Explain the procedure. An initial phone call will be made to potential participants. The contractor will conduct three telephone focus groups of no fewer than five participants each. Conducting focus groups by telephone, which allows for a geographically diverse set of participants.

No Mail

Explain the method for choosing participants.

No Other

Please explain.

G.1. Survey Process

19. Does IRS administer or perform analysis of the survey? Neither

Provide the name of the IRS office administering the survey.
Provide the name of the IRS office performing analysis of the survey.
Provide the name of the IRS office.

20. Does Contractor/Vendor administer or perform analysis of the survey? Yes

Contractor/Vendor: Both

Provide the name of the Contractor/Vendor. ICF INCORPORATED, L.L.C.

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

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

20.a.1.a. If no, please explain.

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

20.a.2.a. If no, please explain.

20.a.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

20.a.3.a. If no, please explain.

20.b. If 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	Yes	Read-Only	Moderate
Contractor Managers	Yes	Read-Only	Moderate
Contractor Sys. Admin.	Yes	Read-Only	Moderate
Contractor Developers	Yes	Read-Only	Moderate

I. Information Protection

21. What information/results will be provided to the business owners (IRS Requestors) of the Survey? No specific personal information will be included on the report and the information is not returned to the IRS as collected. The report from ICF will include: - Background on the topic investigated (call-back feature) - Counts on the gender, age range, and industry of the participants - High-level summary and counts of answers to our questions - Overall perceptions of the callback feature - A few non-identifying direct quotes from the focus group

22. Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances? No

22a. If No, please explain. The IRS will not have the ability to identify any participant, however the contractor administrating the focus group will have that ability. They (the contractor) will not provide the names/identities of any participants to the IRS.

23. Can you confirm that no adverse actions can be taken against participants regarding the participant's answers. Yes

23a. If No, please explain.

24. 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

24a. If no, please explain.

25. Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey? No

25a. If yes, what will be provided to the business owner, explain the business reason.

I.1 Records Schedule

26. 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

26.a. If 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 survey records for the Focus Group for Option Year 3 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. 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 COR will notify PIA when notification of destruction is complete.

26.b. If No, how long are you proposing to retain the records? Please note, if you answered no, you must contact the IRS Records and Information Management Program to initiate records retention scheduling before you dispose of any records in this Survey.

P.1 Data Security

27. 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? No PII will be provided from the vendor only a report will be sent to IRS.

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

28.a. If 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).

28.b. If yes, When data is not sent electronically, provide in detail the information regarding the transfer back and forth from the IRS to contractors. Data will be only be sent electronically.

28.c. If yes, 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 contractors uses regarding the physical and electronic security and protection of the data before, during, and after the

survey. All 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 a ICF's Login Protected Network. That can only be accessed by contractor authorized personnel.

M. Civil Liberties

29. 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

29.a. If yes, explain the First Amendment information being collected and how it is used.

29.b. If yes, please check all of the following exceptions (any one of which allows the maintenance of such information) that apply:

No The individual about whom the information was collected or maintained expressly authorizes its collection/maintenance.

No The information maintained is pertinent to and within the scope of an authorized law enforcement activity.

No There is a statute that expressly authorizes its collection.

29.c. If yes, will the First Amendment information be used as the basis to make any adverse determination about an individual's rights, benefits, and/or privileges?

29.c.1 If yes, explain the determination process. Consult with IRS General Legal Services to complete this section.

30. Will this Survey have the capability to identify, locate, and monitor individuals or groups of people? No

30.a. If yes, describe the type of information derived from these efforts and the technical (e.g., audit trails) or other processes used to limit unauthorized monitoring.

End of Report