

Survey PCLIA ID Number: 6090
Date of Approval: June 24, 2021

SURVEY DESCRIPTION

NOTE: All questions will refer to 'Survey' but also apply to a telephone interview or focus group.

Full name and acronym of the Survey.

Taxpayer Experience Survey, SU-6090

What type of information collection will be used?

Survey

Is this a new Survey?

No

Is there a Privacy Civil Liberties Impact Assessment (PCLIA) for this Survey?

Yes

Enter the full name, PCLIA Number and acronym (if applicable) for the most recent Survey PCLIA:

Taxpayer Experience Survey (TES) 2122

Enter the approval date of the most recent Survey PCLIA?

2/21/2017

Indicate which of the following changes occurred to require this update.

PCLIA Expired

Were there other changes not listed above?

No

Which Business Unit (BU) is requesting the Survey?

Wage and Investments

Who will the Survey be administered to?

External Survey (Taxpayers or Others)

Is your Survey a Customer Satisfaction or Taxpayer Experience Survey?

Yes

Does the information collection request require OMB Clearance?

No

Does this Survey have a Statistics of Income (SOI) number?

Yes

Is this a reoccurring Survey?

Yes

Indicate Frequency

Annually (3-year expiration date)

Expected start date:

5/31/2021

GENERAL BUSINESS PURPOSE

What is the general business purpose of this Survey? Provide the reason for the Survey and the benefits to the IRS mission.

The overall objective of this task is to administer the English and Spanish versions of the Taxpayer Experience Survey to survey customers regarding their pre-filing, filing, and post-filing experiences, needs, and preferences. The key goals of this research are: 1. To determine pre-filing, filing, and post-filing experiences, needs, and preferences 2. To identify service needs of W&I taxpayers

PII DETAILS

Does the Survey use, collect, receive, display, store, maintain, or disseminate PII, or is PII (names, addresses, email addresses, etc.) used to select participants?

Yes

Please specify the types of PII:

Employment Information

Are there other types of PII collected in the Survey?

Yes

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

Employment status, source of income ex, wages, or SSI etc., did you claim EIC, how many people in your household, did you report any dependents on your return and how many, language, long term conditions for ex, deafness or severe vision impairment and do you live in an urban, suburban, or rural area?

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

No

Does the Survey use, collect, receive, display, store, maintain or disseminate linkable data (gender, ethnicity, parts of address, tax filing information, etc.) or use linkable data to select participants?

Yes

List the linkable data applicable to this Survey.

Employment status, source of income ex, wages, or SSI etc., did you claim EIC, how many people in your household, did you report any dependents on your return and how many?

PRIVACY ACT & SYSTEM OF RECORDS NOTICE

Does your survey concern any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.

No

The Privacy Act of 1974 (5 USC §552a(e)(3)) requires each agency that maintains a system of records, to inform each individual requested to supply information about himself or herself. Do Survey participants provide information about themselves?

No

Privacy analyst agreement date.

2/14/2017

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 employee/taxpayer PII come from external resources (contractor, subcontractor, etc.)?

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 - the results are sent to OPM.)

No

Are the Survey results disclosed to any other sources? (Contractor, Sub-contractor etc.)

No

SURVEY PARTICIPATION

Explain how the participants are selected. Include a detailed description. (If the selection is random, explain the process.)

The participants are members of a web panel and pick which surveys they will respond to. The contractor notifies participants. Participants are selected from NORC's (the subcontractor) existing AmeriSpeak Panel, which is a nationally representative panel of volunteers who have agreed to participate in research.

How are participants notified (letter, postcard, email etc.) of the Survey?

The contractor notifies participants with electronic invitations. The contractor notifies participants. Participants are selected from NORC's (the subcontractor) existing AmeriSpeak Panel, which is a nationally representative panel of volunteers who have agreed to participate in research.

Is the Survey voluntary/optional?

Yes

How is notice given that the Survey is voluntary/optional?

They are informed online before they start the survey.

SURVEY PROCESS

How will the Survey be conducted?

Electronic

What survey application or tool is used to create the survey?

Web Based (Contractor or Third-party website)

Provide the website name/address.

Contractor programs the survey using their system. The contractor notifies participants. Participants are selected from NORC's (the subcontractor) existing AmeriSpeak Panel, which is a nationally representative panel of volunteers who have agreed to participate in research.

Are cookies used to prevent a participant from taking the Survey multiple times?

No

Do participants who have not taken the Survey receive a second notification?

Yes

Phone

Explain the procedure. (Random Digit Dialing, Calling List)

Contractor uses their own call list.

Other

Please explain.

Electronic notification. The contractor notifies participants. Participants are selected from NORC's (the subcontractor) existing AmeriSpeak Panel, which is a nationally representative panel of volunteers who have agreed to participate in research.

Will the Survey be audio-taped?

No

Will the Survey be video-taped?

No

DATA SECURITY

Does the IRS administer or perform analysis of the survey?

Neither

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

Yes

Provide the name of the Contractor/Vendor:

ICF--it does not stand for anything; their name is ICF.

Is the contractor in the continental United States (US)?

Yes

Is all work performed and retained within the continental US?

Yes

Provide the Cyber security approved security and encryption used when data is transferred electronically from the IRS to contractors and back to the IRS.

They use the EFTU system.

Is data sent electronically?

Yes

Provide, in detail the information regarding the transfer back and forth from the IRS to contractors.

The secured EFTU system is used.

How is the survey PII protected and stored when it is housed at a contractor's site, on contractor's computers? Provide detailed information regarding the physical and electronic security and protection of the data before, during, and after the Survey.

It is in a locked facility on a secured shared drive with limited access and is password protected.

Has a Contracting Officer or a Contracting Officer's Representative (COR) verified that contracts include all applicable clauses for data protection, and that all contractor employees who will have access to the data, have signed non-disclosure agreements and that the non-disclosure forms are on file with the COR?

Yes

The following people have access to the employee/taxpayer PII:

Contractor System Administrator: Administrator Moderate

SURVEY INFORMATION

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

One annual report each from English and Spanish participants.

Are the results aggregated?

Yes

What is the minimum sample size?

3000

Explain the precautions taken, to ensure the survey results will not be used for any other purpose, not listed in question 7, General Business Purpose.

The results are only shared with IRS officials who need them.

Does the administrator of the Survey have access to information identifying participants?

Yes

Explain the precautions taken, to ensure that employees or taxpayers who participate in the survey cannot be identified or re-identified under any circumstances?

The contractor assigns a number to each participant for use in analysis. The number is not associated with the person's identity. Only the number is used in analysis. There is no way to reconnect the data to a specific person.

Explain the precautions taken to ensure no adverse actions can be taken against participants?

There is no way to identify individuals. All data are aggregated.

For Employee or Taxpayer Satisfaction Surveys, explain how you have ensured that no “raw” or unaggregated employee or taxpayer data will be provided to any IRS office?

This is a requirement in the contract.

RECORDS SCHEDULE

Are the Survey records covered under a General Records Schedule (GRS, IRS Document 12829) or has the National Archives and Records Administration (NARA) approved a Records Control Schedule (RCS, IRS Document 12990) for the retention and destruction of this Survey and supporting documentation?

Yes

How long are the records required to be held under the corresponding GRS or RCS and how are they disposed of? Explain how long any data will be retained by the contractor if they are conducting the Survey on behalf of the IRS. In your response, provide the GRS or RCS chapter number, the specific item number, and records series 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 referenced in IRS Document 12829 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. GRS may be superseded by IRS specific RCS in the future.

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, freedom 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

RESPONSIBLE PARTIES

OFFICIAL USE ONLY