

Survey PCLIA ID Number: 3898
Date of Approval: June 18, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

American Customer Satisfaction Index Survey, SU 3898

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:

American Customer Satisfaction Index (ACSI) Survey

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

DOI 16-001

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

6/24/2016 12:00:00 AM

Indicate the changes that require this update:

PCLIA Expired

Were there other changes not listed above?

Yes

Please explain the changes:

The only significant change since the previous PCLIA was approved is that the former random digit dialed (RDD) landline individual paper and electronic tax filer surveys will target as many as 50% RDD cell phone interviews as well as 50% for the usual landline phone interviews to improve the sample quality. Depending on our ability to timely reach enough cell phone respondents, we may make up any shortages with landline interviews.

Is this a reoccurring Survey?

Yes

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

The 2019 annual ACSI Survey will be fielded August 1 through October 31, 2019.

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

No

Does the Information Collection Request require OMB clearance?

Yes

What is the OMB Clearance number?

OMB 1090-007

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 American Customer Satisfaction Index (ACSI) survey provides valuable feedback from individual paper and electronic tax filers (including those who file Schedules C & F) and small and large corporate tax filers about their experiences with filing taxes. This information enables the IRS to better understand what impacts customer satisfaction levels and informs its customer service improvement processes. This PCLIA is only for the SOI/Research, Applied Analytics & Statistics (RAAS) ACSI survey on the tax filing process.

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

Phone Numbers

Biometric Identifiers

Are there other types of PII collected in the Survey?

Yes

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

A screening question ensures that respondents are at least 18 years old. Additionally, although respondents respond to questions about whether they filed electronically or filed a Schedule C or F to determine which study they qualify for, this information does not come from the IRS, so it's not IRS tax account information, which is why this survey is not subject to Section 6103.

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:

6/5/2019

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?

Yes

Describe the source of the information:

Although individual participants are selected via random digit dialing, the source of the PII collected is survey participants, not IRS. Our sub-contractor asks if they are over the age of 18. Because we assume that most members of the public over the age of 18 are taxpayers, our sub-contractor asks to speak to the person, or one of the persons, who has the most interaction with the IRS concerning the filing of their IRS income tax return. For call backs, if the participant needs to finish the survey later, our sub-contractor collects their first name. Our sub-contractor also asks participants if they filed a paper tax form or filed electronically, and we collect demographic information during the survey interview. Corporate taxpayers are randomly selected from contact lists provided by Dun & Bradstreet (D&B), which collects publicly available information that the Securities and Exchange Commission requires corporations to publish. The contact lists include PII such as relevant staff names and titles of people in positions who would likely have tax filing responsibilities, corporate addresses, phone numbers, etc. for the corporations listed.

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.)

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).

Organization Name: Treasury

Transmission Method: Survey results are shared via email.

ISA/MOU: No

Organization Name: Office of Management and Budget (OMB)

Transmission Method: Survey results are shared via email.

ISA/MOU: 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: Dun & Bradstreet

Transmission Method: Individual taxpayers are selected via Random Digit Dialing.

Corporate taxpayers are selected from contact lists purchased from Dun & Bradstreet (D&B), which collects publicly available information that the Securities and Exchange Commission requires corporations to publish.

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.

Individual participants are selected via Random Digit Dialing (RDD) of household telephone numbers from working phone area codes and exchanges identified from various national databases and by computer generating the last four digits. Once reached, participants are screened asking whether they are at least 18 years old (we assume that most people over the age of 18 are taxpayers), asking to speak to the person who has the most interaction with IRS concerning filing their IRS income tax returns, whether they filed paper or electronic tax forms, and whether they filed Schedule C or Schedule F forms. This information determines what study they are eligible to participate in. Corporate participants are randomly selected from contact lists provided by Dun & Bradstreet (D&B). SEC requires corporations to publish information that includes corporate officers and other data that D&B collects. D&B pulls contact lists based on asset range percentages that align with estimated percentages of corporate taxpayers taken from IRS publications for large and small corporations. Corporations within the D&B database are also screened to ensure that they have at least one available phone number and at least one contact name for a person with one of several eligible titles for positions likely to be responsible for dealing with corporate taxes. The CATI sub-contractor's computer system automatically randomizes the contact lists when they are uploaded to the system.

How are participants notified of the Survey?

They are called by phone.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

The introduction of the survey includes the following language: "Your answers will remain anonymous, and your participation is voluntary. You may stop at any time or skip any question you do not wish to answer."

How will the Survey be conducted?

Phone

Explain the procedure:

This survey will entail live interviews conducted by telephone using Computer-Assisted Telephone Interviewing (CATI). Interviewers are professionally trained and continuously monitored and supervised. All data are entered and cleaned through the CATI system during the interviewing process, which eliminates editing and keypunch operations. A screening question ensures that respondents are at least 18 years old. If a call back is needed (when the qualified respondent was not available or the respondent was not able to complete the survey), the telephone number and name are retained for purposes of completing the survey. This is retained in the CATI system, which is only accessible to those who are authorized to work on the survey. Once completed, the record is anonymized with a unique record ID as part of the completion process.

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Analysis

Provide the name of the IRS office:

IRS' Statistics of Income (SOI), Statistical Services Branch, Statistical Support Section staff coordinates the survey and provides special analyses to executives and other stakeholders in addition to the analyses completed by the contractor.

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

Both

Provide the name of the contractor/vendor:

Federal Consulting Group (FCG) with Claes Fornell International (CFI) Group as the survey sub-contractor

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.

No

INFORMATION PROTECTION

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

No data that could identify respondents will be provided to IRS. All data provided to IRS are anonymized responses to the survey questions.

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 Public Customer Service Operations Records 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.

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?

No PII is stored on IRS computers. All deliverables, which contain only anonymized information, are transmitted to IRS according to IRS' data protection policies. We further asked IRS' Privacy Policy staff for advice about transmitting the D&B contact lists, which contain publicly available information that SEC requires corporations to publish and were assured that they could be transmitted to the vendor using IRS' data protection policies. For the individual taxpayer surveys, IRS does not receive or provide any contact lists or PII related to individual taxpayers, because that survey is conducted via RDD. Although the corporate taxpayer survey contact data from Dun & Bradstreet are publicly available information that SEC requires corporations to publish, the vendor will receive the D&B contact lists for large and small corporations via e-mail using zipped, password protected files using SecureZip, according to current IRS policies.

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.

IRS does not provide IRS-generated taxpayer data to the contractors and is not subject to Section 6103 requirements. The contractor doesn't provide sensitive PII of any kind to IRS.

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

This survey is not subject to Section 6103 requirements. We do not receive or provide hard copies of any information to the vendor; we only receive electronic deliverables. We communicate by phone or email.

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.

No IRS taxpayer information of any type is being provided to the contractor by IRS. No phone numbers or names are stored with the response data. The data reside on secure servers. During the course of the administration of the survey, i.e., before the responses are anonymized in cases where call backs are needed, the data are housed in the electronic Computer Aided Telephone Interview (CATI) system. It is accessible only by those authorized to access it for purposes of administering the survey. Subcontractor Research Now/SSI - The data files are in proprietary binary encrypted format on the system and are only accessible by employees who are authorized to access it. The call back information is written to those files and dialed automatically by the system so there is no need to have the callbacks in a separate list. It is all managed by the software. Subcontractor CFI - The data are stored on the server that is in a locked room. The access levels to the server are set so only authorized staff has access to the data from the internal network or through an encrypted VPN tunnel. The server is not accessible from public networks/internet. A daily tape backup is performed overnight, the data are encrypted before being written to tape; the tapes are removed and secured in a locked cabinet in a locked office. The data are archived on a secure media for the set period allowed by the company's archive policy unless the client sends a written request to destroy the data. IRS requests that contact lists be destroyed at the end of the project, per our agreement with Dun & Bradstreet. CFI provides confirmation that the contact lists have been destroyed.

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