

Survey PCLIA ID Number: 3965
Date of Approval: May 01, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

Appeals TeamCase Conferencing Initiative Survey, SU 3965

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?

Yes

Is this a reoccurring Survey?

No

Provide the dates collection of information will begin and end:

May 1, 2019 to May 1, 2020

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?

1545-2208

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 survey will gather feedback from IRS personnel, and taxpayers/representatives that participated in the Appeals Team Case Lead (ATCL) Conferencing Initiative. The ATCL Conferencing Initiative supports the Appeals mission that is to resolve tax matters, without litigation, on a basis which is fair and impartial both the government and the taxpayer. The survey is broken up into three parts, 1.) For all ATCL volunteers 2.) For taxpayers that participated in a case and 3.) For Exam teams (IRS Employees) that participated in a case. The analysis of the survey responses will provide Appeals with feedback about the initiative.

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

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?

Yes

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 36.003 General Personnel and Payroll 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?

No

Please add the Disclosure office agreement date:

3/4/2019

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)?

Yes

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

Name: Appeals Central Database System

Transmission Method: email

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?

Others

Please explain:

The survey will be administered to IRS Employees, taxpayers, and taxpayer representatives if the taxpayer has a representative. All participants are volunteers.

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

The participants are selected because they have volunteered for the ATCL Conferencing Initiative. All volunteers will be sent a survey through Survey Manager because they have chosen to volunteer. The email address is secured through Appeals Centralized Database System.

How are participants notified of the Survey?

The participants are notified of the Survey via Survey Manager. Survey Manager is an anonymous survey program. Survey Manager is an integrated, end-to-end application for managing your total data collection requirements.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

The notice that the survey is optional is addressed in the email that is sent out through Survey Manager.

How will the Survey be conducted?

Electronically

Explain the delivery method and specify if cookies are used.

Email via survey manager.

What application is used to create the survey?

Survey Manager

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Both

Provide the name of the IRS office:

Appeals and the Research, Applied Analytics, and Statistics Division (RAAS)

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

No

INFORMATION PROTECTION

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

The answers to the survey questions will be provided to Appeals (business owners).

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.

RCS- Internal Revenue Service Records Control Schedule (RCS) 10 Appeals- Item 2: Cut off files every 2 years. Destroy 5 years after date of cutoff or when determined to be no longer needed in current operations, whichever is earlier.

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?

The answers to the survey questions will be protected within the IRS secure system. Access to the system is limited to the Research, Applied Analytics, and Statistic Division (RAAS) employees. They will provide only the answers to the questions to Appeals. The answers will not include PII data. The PII data will not be compromised and be contained to the Survey Manager system. The participants anonymity is protected.

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

No

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