

Survey PCLIA ID Number: 5451
Date of Approval: October 14, 2020

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.

Tax Court Settlement Day Participant Evaluation, SU-5451

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:

Chief Counsel Pro Bono Day Event Monitoring, COF; PCLIA 4305

Enter the approval date of the most recent Survey PCLIA?

9/16/2019

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

Addition of Personally Identifiable Information (PII)

Were there other changes not listed above?

Yes

Provide an explanation of the changes.

Wording of a few of the questions on the survey changed due to changing the Tax Court Settlement Day (Chief Counsel Pro Bono Day) from in person to virtual. Also, instead of handing each participant a survey, they will be emailed.

Which Business Unit (BU) is requesting the Survey?

Small Business Service

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?

Yes

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

Yes

Is this a reoccurring Survey?

Yes

Indicate Frequency

One-year, multiple events (1-year expiration date)

Expected start date:

10/30/2020

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.

Collect satisfaction levels of those who attend Tax Court Settlement Day (Chief Counsel Pro Bono Day) events. The information collected will help to determine if changes to the event process are needed.

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:

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

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?

No

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.

Yes

Enter the SORN number(s) and the complete name of the SORN(s):

IRS 10.004 Stakeholder Relationship Management and Subject Files

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?

Yes

Provide the Privacy Act Statement.

IRS will not collect PII about you during the survey. Your participation is voluntary. During the survey, you will have the opportunity to provide comments and suggestions. We will not share the information you give us with anyone, unless required by law. Any information we collect and maintain will be handled in accordance with the access and privacy protection requirements of the Privacy Act, the Freedom of Information Act, and the Internal Revenue Code. If you would like further information about these statutes, please visit the IRS electronic Freedom of Information Act Reading Room.

Privacy analyst agreement date.

9/9/2020

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.)

There will be no selection. The survey will be offered to all Tax Court Settlement Day (Chief Counsel Pro Bono Day) event participants.

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

The Virtual Settlement Appointment will utilize telephone lines and email addresses for the meeting (e.g., we would send a WebEx link or teleconference number), but these PII are not items that we are collecting for the purposes of the survey.

Is the Survey voluntary/optional?

Yes

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

Participants will be told that the survey is optional.

SURVEY PROCESS

How will the Survey be conducted?

Phone

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

The Virtual Settlement Appointment will utilize telephone lines and email addresses for the meeting (e.g., we would send a WebEx link or teleconference number), but these PII are not items that we are collecting for the purposes of the survey. The survey will be emailed with other information for the appointment.

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?

Both

Provide the name of the IRS office administering the survey.

SB/SE Counsel

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

SB/SE Counsel

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?

No data will be transferred. Data will be stored in a secure folder only accessible by the survey administrator and will be destroyed after use.

Where and how is it stored and protected?

All data will be stored in a secure folder only accessible by the survey administrator.

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

No

SURVEY INFORMATION

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

Only aggregated results from the survey responses will be shared. No identifying information will be shared.

Are the results aggregated?

Yes

What is the minimum sample size?

N/A

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 aggregated results will be shared directly with and only with Area Counsel. Only the survey administrator will have access to the emailed responses. The responses will be aggregated, and the identifying information removed (and deleted) before sharing with the business unit.

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?

Only the survey administrator will have access to the emailed responses. The responses will be aggregated, and the identifying information removed (and deleted) before sharing with the business unit.

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

The email addresses of participants will be removed from the data and not shared. Only aggregated results will be shared with Counsel.

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?

The responses will be aggregated, and the identifying information removed (and deleted) before sharing with the business unit.

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 assessment will be deleted or destroyed in accordance with approved retention periods. Any records will be managed according to requirements mandated or governed by OMB Circulars A-123, A-130, and A-76; Government Accountability Office's (GAO) Standards for Internal Control in the Federal Government (the "Green Book"); and similar requirements or directives. These records have a temporary retention schedule. Records will be destroyed 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use. (General Records Schedule 5.7.010) GRS 5.8 Item 010-Technical and administrative help desk operational records. - Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

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