

Survey PCLIA ID Number: 5545
Date of Approval: October 27, 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.

Taxpayer Experience Survey Focus Groups, SU-5545

What type of information collection will be used?

Telephone Interview
Focus Group

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 Follow up Focus Groups (TESFG) 3008

Enter the approval date of the most recent Survey PCLIA?

10/27/2017

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?

Yes

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

No

Is this a reoccurring Survey?

Yes

Indicate Frequency

Annually (3-year expiration date)

Expected start date:

11/1/2020

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.

The Taxpayer Experience Survey (TES) has its own Privacy Impact Assessment (PIA). This one is for follow up focus groups and cognitive testing of the TES. The cognitive tests are used to improve the participants' understanding of the questions and the follow up focus groups are used to drill down on specific areas of interests.

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:

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 36.003 General Personnel and Payroll Records

IRS 00.001 Correspondence Files and Correspondence Control 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?

No

Privacy analyst agreement date.

9/29/2020

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.)

Participants are members of a panel and the contractor invites them to participate in focus groups or cognitive interviews.

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

Email

Is the Survey voluntary/optional?

Yes

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

They are invited to join and told it is their choice.

SURVEY PROCESS

How will the Survey be conducted?

Phone

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

If the panel member agrees to participate, they either call into the focus group or call in for the cognitive interview.

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:

Primary is ICF, International; Sub is National Opinion Research Center (NORC) The sub's nondisclosure agreement is attached.

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.

No data is transferred. The contractor provides reports of the analysis only.

Is data sent electronically?

No

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.

The contractor and subcontractor pass regular physical and data security inspections and conforms to IRS security requirements. NORC maintains a panel of survey participants to whom they send invitations to surveys for many clients, not just ICF/IRS. For surveys conducted under our contract with the IRS, NORC uses a secure server. NORC has undergone IRS site reviews and is compliant with security requirements. ICF does not receive the email addresses.

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 Users: Read-Only Moderate

Contractor Managers: Read-Only Moderate

Contractor System Administrator: Read-Only Moderate

SURVEY INFORMATION

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

Reports of findings from the focus groups and cognitive testing.

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 reports are only shared with those who need to know the results.

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

No

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 who administers the focus groups and interviews uses a subcontractor to manage the panel from which participants are selected. NORC complies with IRS security requirements.

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

No one knows who the participants are. The use only their first names for the focus groups and interviews.

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 not a survey. There is no raw data.

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.

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. NORC is responsible for maintaining and destroying email addresses when 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