

Survey PCLIA ID Number: 5618
Date of Approval: November 02, 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 Digital Communications (TDC) Automated Underreporter (AUR) Survey,
SU-5618

What type of information collection will be used?

Survey

Is this a new Survey?

Yes

Which Business Unit (BU) is requesting the Survey?

Deputy Comm. Services & Enforcement

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

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.

The goal of TDC Automated Underreporter (AUR) Survey is to understand taxpayers' overall experiences with IRS Secure Messaging and their satisfaction with the tax return review process. This survey asks taxpayers to rate their satisfaction with various aspects of the review process using IRS Secure Messaging. Results will be used to improve the overall the taxpayer experience.

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?

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 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.

10/20/2020

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 will be recruited from a pool of closed review cases and will be selected via a random number generator in Excel. Each taxpayer or representative with a closed case has an equal chance of being selected to participate in the survey. No PII will be collected from potential participants. The random number generator will be used against un-linkable case numbers. Participants will receive notification eligible survey participation through the Secure Messaging portal that is not accessible or controlled by employees related to the study. Participants will self-select by clicking on a link sent from Secure Messaging, an IRS Information Technology approved platform, in order to take the survey. They will not have to enter a name, email, or any other identifying information to participate.

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

Participants will be notified of the survey when they read the secure message notifying them of the option to participate.

Is the Survey voluntary/optional?

Yes

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

Once taxpayers click on the call-to-action text, a survey window will pop up with language stating that the survey is optional. They will also be told that they can exit the survey early at any time and for any reason without any kind of penalty. Survey will include the following language: "Thank you for participating in this survey. We would like to understand more about your experience with IRS Secure Messaging. This survey is estimated to take around 3 minutes of your time. Participation in this survey is voluntary and can be terminated at any time with no risk of penalty."

SURVEY PROCESS

How will the Survey be conducted?

Electronic

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

Other

List the tool or application:

The survey will be hosted and administered online by ForeSee.

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?

No

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:

Booz Allen Hamilton

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.

The deliverable will be a report that highlight aggregated and de-identified user findings, insights and recommendations and will be transferred via secure email that will be provided to IRS SB/SE offices that work directly on the Secure Messaging portal.

Is data sent electronically?

Yes

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

The PII will not be stored on IRS computers. PII will be stored within the Secure Messaging portal and will not be shared with anyone related to the survey.

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.

No PII will be collected or stored on computers.

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 and Write Moderate

Contractor System Administrator: Read and Write Moderate

SURVEY INFORMATION

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

The deliverable will be a report that details aggregated survey results.

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.

Survey results will be only be shared with the business owners of the survey. Results are aggregated and the IRS will only receive a final findings report that will focus on the general business purpose of the survey.

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?

No PII is collected, stored, and shared between the administrator of the survey and the IRS.

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

Participants are not identifiable since PII is not collected, stored, or shared.

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 PII will not be stored on IRS computers. PII will be stored within the Secure Messaging portal and will not be shared with anyone related to the survey.

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.

The survey will be managed using GRS 6.5, Item 010 Public Service Operations Records, temporary. Destroy 1 year after resolved or when no longer needed for business use, whichever is appropriate. Any additional records developed from the survey maintained by the IRS will be scheduled as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. IRM 1.15.1, Records and Information Management, The Records and Information Management Program.

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