

Survey PCLIA ID Number: 5713
Date of Approval: December 16, 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.

Correspondence Exam Secure Messaging Survey, SU-5713

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:

Correspondence Exam Secure Messaging Survey, NA, 3032

Enter the approval date of the most recent Survey PCLIA?

1/18/2018

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?

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?

No

Is this a reoccurring Survey?

Yes

Indicate Frequency

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

Expected start date:

1/11/2021

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.

To determine customer satisfaction among taxpayers who have used secure messages to communicate with the IRS during their audit. As part of the Taxpayer Digital Communications (TDC) project, the IRS is testing the use of Secure Messaging with taxpayers to conduct Correspondence Examinations (Audits). Participating taxpayers have been invited and opted in to use the Secure Messaging platform and have completed an authentication process to verify their identity. Taxpayers used a secure platform to send/receive electronic messages and to share documentation with the IRS. The survey will help IRS better understand the taxpayer's experiences with the process of registering/authenticating their identity, communicating with the IRS via electronic messages, and transmitting documents to the IRS to support the items reported on their tax returns. This information will allow IRS to assess the effectiveness of the system and to determine if/where any improvements may be needed. NOTE: The Federal Consulting Group (FCG), an agency within the Department of the Interior (DOI), coordinates the survey for

other federal agencies through an interagency agreement. They handle administrative tasks for the survey, such as getting Office of Management and Budget (OMB) clearance for federal agency participants through the DOI's approval process, so this PCLIA will not go through IRS' Statistics of Income (SOI) coordinated OMB process. FCG's subcontractor, conducts and analyzes the survey with the assistance of their subcontractor ForeSee.

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
Internet Protocol Address (IP 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 42.008 Audit Information Management System

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.

11/30/2020

INCOMING PII INTERFACES

Does the employee/taxpayer PII come from the IRS, Treasury, or other Government system(s), application(s) or data base(s)?

Yes

List the source that the PII is extracted or derived from, how the data is transmitted, and if there is an Interconnection Security Agreement (ISA) or Memo of Understanding (MOU).

Name: AIMS Centralized Information System (A-CIS)

Transmission Method: Not Transmitted

ISA/MOU: 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.)

A sample of up to 25 closed TDC audit cases each week are asked to fill out the survey. Participants are selected using AIMS Centralized Information System (A-CIS) (an Access extract of AIMS data) at the end of each week. The random number generator is used to sort and select the participants.

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

Secure message within the TDC platform (similar to email, only on a secure portal). A generic email is sent to their personal account to notify them that they have a new message in the portal.

Is the Survey voluntary/optional?

Yes

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

The following language is included in the invitation "This survey is voluntary, and your identity will remain private. You don't have to answer every question, if you choose not to. We'll use the responses you provide to determine steps we can take to improve our service to you. We may share your responses for reasons defined under the Privacy Act System of Records. To help ensure your privacy, please do not include any personal information (for example, name, Social Security number, address, phone number, etc.) in your survey responses."

SURVEY PROCESS

How will the Survey be conducted?

Electronic

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

Web Based (Contractor or Third-party website)

Provide the website name/address

ForeSee - <https://survey.foreseeresults.com/survey/>

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?

Both

Provide the name of the IRS office administering the survey.

SB/SE: Headquarters Exam: Field and Campus Policy: Campus Policy

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

Office of On Line Services, SB/SE: Headquarters Exam: Field and Campus Policy: Campus Policy

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?

PII is maintained on a secured SharePoint drive. Permissions limited to those needing access to the closed case data.

Where and how is it stored and protected?

PII is maintained on a secured SharePoint drive. Permissions limited to those needing access to the closed case data.

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

Yes

Provide the name of the Contractor/Vendor:

ForeSee, A Contractor working for OLS (Booze-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.

No PII is transmitted.

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.

No PII is housed at the contractor's site or on their 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

SURVEY INFORMATION

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

Summary satisfaction score. Individual survey results, including verbatim comments on an as needed basis.

Are the results aggregated?

Yes

What is the minimum sample size?

300 Respondents

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 identity of the respondents is not known.

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?

Survey invitations are sent to a sample of taxpayers. The Service doesn't not know who responds.

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

The identity of the respondents is not known.

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?

No questions or collected data contain identifying information. Verbatim text of open-ended comments are systemically "scrubbed" of potential PII prior to being submitted to the vendor. The scrubbing is done through an "Open End Text Replacement" Process. Before open end responses get to the vendor's portal (through the warehouse load process) this process will find patterns in the open-end text field and replace that pattern with any text desirable (the word "[scrubbed]"). This would apply to: social security number birth dates email addresses phone numbers profanity drug names.

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.

Correspondence Exam Secure Messaging Survey is unscheduled. A request for records disposition authority for this Survey (and other similar external surveys Servicewide) will be drafted with the assistance of the IRS Records and Information Management (RIM) Program Office. When approved by the National Archives and Records Administration (NARA), it is anticipated that instructions for this survey will include retentions for the datasets/raw data, background documentation, and summary/final reports, as appropriate. Cyber-security and National Institute of Standards and Technology (NIST) Standards for records retention requirements state that documents must be securely maintained for seven years prior to destruction or until the end of the contract term (Period Of Performance), whereas the participation of the contractor under the Customer Satisfaction Survey Blanket Purchase Agreement (CSS BPA) has been terminated. These requirements will obviously be considered in drafting a final request for records disposition authority for NARA submission and approval.

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