

Survey PCLIA ID Number: 5801  
Date of Approval: January 06, 2021

## **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.*

Automated Collection System (ACS) Customer Satisfaction Survey (CSAT) (Toll-Free IVR), SU-5801

*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:*

Automated Collection System (ACS) Customer Satisfaction Survey (CSAT) (Toll-free IVR), SU-4009

*Enter the approval date of the most recent Survey PCLIA?*

6/18/2019

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

Office of Management and Budget (OMB) Required Update

*Were there other changes not listed above?*

Yes

*Provide an explanation of the changes.*

Survey questions are revised to comply with the Office of Management and Budget (OMB) A-11.

*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*

Annually (3-year expiration date)

*Expected start date:*

1/15/2021

## 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.*

This survey is conducted as part of the IRS agency-wide initiative to monitor and improve taxpayer satisfaction with the ACS program. To ensure that the ACS program is meeting the needs of the taxpayers, feedback from external customer satisfaction surveys is critical for assessing the customer's perception of our products and services. The survey is conducted on a monthly basis via telephone using Interactive Voice Response (IVR). ACS is responsible for resolving Federal tax delinquencies that involve unpaid taxes and/or unfiled returns. ACS primarily interacts with taxpayers over the phone. Since ACS is empowered to take enforcement action to resolve delinquent accounts, many contacts are the result of taxpayers calling ACS in response to a proposed or completed enforcement action. Such actions can include issuing a notice of levy against a taxpayer's property, wages, bank accounts or accounts receivable; or filing a notice of federal tax lien to secure the government's interest against the taxpayer's property. When taxpayers call, ACS employees attempt to secure sufficient information to resolve the tax issues. If the taxpayer does not provide all the required information, they may be instructed to follow up by mailing in documents or calling back at another time when the information is available. ACS employees must often walk a fine line in providing top quality service to taxpayers while also fulfilling their responsibilities to resolve tax liabilities in an efficient and effective manner.

## 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?*

Yes

*List the linkable data applicable to this Survey.*

Name, Taxpayer Information, Email Address, Phone Number

## **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 &sect552a(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.*

Our authority for requesting the information is 5 USC and 26 USC 7801. The information you provide may be disclosed to an IRS contractor when authorized by law. The contractor is required to follow to the extent (allowed by law) protections required by the Privacy Act and/or Internal Revenue Code section 6103.

*Privacy analyst agreement date.*

6/18/2019

## 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.)*

Taxpayers who call in to the ACS telephone lines in response to notices mailed to them about their payment or filing delinquency are the potential population for the ACS survey. When taxpayers call the ACS telephone number, an IRS employee monitors the incoming calls that match the sampling pattern. Variables for selecting incoming call participants from the ACS line include hour of day, day of week, and time of year. At the end of each selected call, the IRS monitor notifies the IRS customer service representative that the call has been selected for inclusion in the survey. Taxpayers are asked if they would like to participate in a voluntary survey. Callers who agree to participate are transferred to the IRS monitor, who then transfers the customer into an automated survey.

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

Taxpayers are told, while on the call with ACS, they have been selected for a voluntary survey.

*Is the Survey voluntary/optional?*

Yes

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

The opening statement in the IVR script is: "Thank you for participating in this voluntary survey. Your input will assist the IRS to improve its Toll-Free service for callers like you. This survey is being conducted by Pacific Consulting Group, an independent, third-party organization. All answers will be kept anonymous to the extent allowed by law. There are no penalties for not answering some or all of the survey questions."

## **SURVEY PROCESS**

*How will the Survey be conducted?*

Phone

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

Taxpayers who call in to the ACS telephone lines in response to notices mailed to them about their payment or filing delinquency are the potential population for the ACS survey. When taxpayers call the ACS telephone number, and IRS employee monitors the incoming calls that match the sampling pattern. Variables for selecting incoming call participants from the ACS line include hour of day, day of week, and time of year. At the end of each selected call, the IRS monitor notifies the IRS customer service representative that the call has been selected for inclusion in the survey. Taxpayers are asked if they would like to participate in a voluntary survey. Callers who agree to participate are transferred to the IRS monitor, who then transfers the customer into an automated survey.

*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?*

Analysis

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

SB/SE Research Team 4

*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?*

The Business Owners will receive one disposition report from the contractor, as well as monthly datasets from the monthly survey administration. No specific taxpayer information regarding the survey will be provided to the Business Owners. The contractor uses variable coding on the reports where participants are referred to as 'respondents.' Participants cannot be identified, and no adverse actions will be taken against them regarding their responses. All reports are prepared internally by the SBSE Research Team.

*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.*

Contractor participates in annual Contractor Security Assessments by IRS Representatives and received satisfactory to excellent reviews annually. All electronic IRS data is stored on a separate password protected server inside a locked facility; physical data is stored in a locked cabinet. Only the IRS cleared system administrator has logical and physical access to the secure servers.

*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?*

No specific taxpayer information regarding the survey will be provided to the Business Owners. The contractor uses variable coding on the reports where participants are referred to as 'respondents.' Participants cannot be identified, and no adverse actions will be taken against them regarding their responses.

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

No PII/SBU is provided to the IRS or stored on IRS computers.

*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 PII/SBU is provided to the IRS or stored on IRS computers.

## **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 survey will be deleted or destroyed in accordance with approved retention periods. Any records will be managed according to requirements under IRM 1.15.1 and 1.15.6 and will be destroyed using IRS General Records Schedule (GRS) 6.5, Item 010 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. Cyber-security and the National Institute of Standards and Technology (NIST) for records retention requirements state that documents must be securely maintained for seven (7) years prior to destruction or until the end of the contract term (Period of Performance), 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