

Survey PCLIA ID Number: 7972
Date of Approval: August 07, 2023

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.

IRA_CHIPS - Clean Vehicle Dealers, SU-7972

What type of information collection will be used?

Focus Group

Is this a new Survey?

Yes

Which Business Unit (BU) is requesting the Survey?

Taxpayer Experience Office

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?

No

Provide the date the Survey will begin and end. (1-year expiration date).

Beginning quarter:

3

Ending quarter:

2

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 IRS is in the process of implementing the green energy tax credit provisions under the Inflation Reduction Act (IRA) and the Creating Helpful Incentives to Produce Semiconductors and Science Act of 2022 (CHIPS). The Taxpayer Experience Office (TXO) will conduct small-group or individual discussions with users and stakeholders to gain insights into customers' behaviors and expectations related to interactions with the IRA and CHIPS provisions, specifically, electronic pre-filing registration and reporting platforms. These insights will be used to inform effective, user-centered development and enhancement of the products and processes to deliver a positive customer experience with the IRA and CHIPS provisions. These voluntary discussions will last for 1 hour and will be held virtually (Microsoft TEAMS) with capacity to screen share to enable participants view concept slides illustrating how the electronic platform could appear. TXO will use five moderator guides, listed below, each geared towards a particular user or stakeholder, to understand whether the different platforms meet expectations.

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
Mailing address
Phone Numbers
E-mail Address
Internet Protocol Address (IP Address)
Biometric Identifiers
Employment Information
Tax Account Information

Are there other types of PII collected in the Survey?

Yes

Describe the other types of PII that are applicable to this Survey:

Volunteers will be asked what industry they work in and their position. When we solicit volunteers, they may respond with phone numbers or tax return information, but we are not requesting that information nor are we including it in our aggregated reports.

Organizational/Industry Professional Listing are received from Department of Treasury, the listing contain organization's name and email and may potentially include a name of the person to contact within that organization.

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.

Email Address, First Name, Industry Work In, Job Position.

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

IRS 00.003 Taxpayer Advocate Service and Customer Feedback and Survey Records

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.

5/15/2023

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: Department of Treasury

Transmission Method: email-trade associations emails/potential participants

ISA/MOU: Yes

Name: IRA Tax Provision Implementation Office- IRS

Transmission Method: secure data transfer

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.)

No selection process is used. Participants will self-identify and volunteer. We will contact, via email, approximately 150 dealers or organizations with members who are new, used, or commercial fleet clean vehicle dealers who will be selling vehicles that qualify for IRA credits to volunteer to participate in focus groups. We anticipate having approximately 5 discussion groups of approximately 20 individuals in each, but we can expand number of participants if we receive additional volunteers. Random selection will be used if more volunteers than expected are received.

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

Participants will be contacted by email. (Email listing are sent to the Taxpayer Experience Office, who receives them from the Department of Treasury or the IRS Advisory Boards. (IRS Advisory Council (IRSAC), Electronic Tax Administration Advisory Committee (ETAAC), and Taxpayer Advocacy Panel (TAP).)

Is the Survey voluntary/optional?

Yes

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

Notice is given to all participants during each step of the process. All templates clearly state participation is voluntary. (The email of solicitation and survey invite, as well as the moderator guide) This notice will verbally be stated at the start of the survey session.

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:

Microsoft TEAMS live meeting with audio recording.

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?

Yes

Provide the consent method and statement.

Moderator informs participants: We will be recording the discussion because we don't want to miss any of your comments. By remaining in this discussion group, you agree to the recording of this session. We will not use your name or image for any purpose other than research. We request that we keep each other's identities, participation, and remarks confidential. Information discussed is going to be analyzed as a whole, and participant names will not be used in any analysis of the discussion. The graphics shared during this presentation are concepts only and do not necessarily reflect the final electronic process.

DATA SECURITY

Does the IRS administer or perform analysis of the survey?

Both

Provide the name of the IRS office administering the survey.

Taxpayer Experience Office

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

Taxpayer Experience Office

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?

The recording and interview notes will be transcribed and saved to text files. The files will be shared with team members only and secured in a protected directory on a secure server. Project team members participating in the interviewing and note taking will maintain the PII data on their respective laptops. This information is subject to all the restrictions and requirements applicable to IRS employees handling PII on behalf of the IRS. This information will be located in IRS electronic records. All data is transferred per the instructions in IRM 1.10.3.2.1, Secure Messaging and Encryption, 10.8.1.4.17.2.2, Electronic Mail Security, and 11.3.1.14.2, Electronic Mail and Secure Messaging. Data is transferred using IT-approved technology. This includes secure e-mail via Outlook and for attachments.

Where and how is it stored and protected?

All survey PII data will be maintained on laptop computers which includes all the current and required IRS protection software. Files will be maintained and on Taxpayer Experience Office secure SharePoint sites pursuant to IRS records requirements and disposed of based on IRS record-keeping requirements. All PII indicators will be redacted in the aggregated report.

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?

A written report with pertinent information will be shared in an aggregate form with the Tax Provision Implementation Office (TPIO). Any IRS Business Unit-specific information will be separately shared with program owners to assist in implementing customer experience enhancements.

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 team will use the customer feedback to produce a summary report and will not share the raw data for any other purpose. In individual interview sessions, any of the Business Operating Divisions (BOD) such as but not limited to, Communications and Liaison, Chief Counsel, Large Business and International, Online Services, Small Business/Self-Employed, Tax Exempt and Government Entities, Transformation and Strategy office or Wage and Investment, involved in the implementation of IRA and CHIPS, reserve the option to listen in to the interview, so we cannot guarantee that anyone cannot be identified or re-identified, but that individual statements identifying them will not be shared or published by TXO. The team will also notify the BOD that the survey information that they hear may only be used for this survey and no other purpose. All PII indicators will be redacted in the aggregated report.

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?

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

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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?

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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 Internal Revenue Manual (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. GRS may be superseded by an IRS specific RCS in the future (temporary, destroy one 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