

Survey PCLIA Report

Date of Approval: May 15, 2018

Survey PCLIA ID Number: **3463**

A. Survey Description

1. Full name and acronym of the Survey. TAS Underserved Survey, TUS
2. Is this a Survey, Telephone Interview or Focus Group? Survey

NOTE: the remaining questions will be simplified to refer to the Survey but still apply to Telephone Interview or Focus Group. If Telephone Interview or Focus Group, a copy of Interview Questions or the Moderators Guide will be requested by the Privacy Analyst.

3. Is this a new Survey? Yes
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4. Is this a reoccurring Survey? No

4.b. If no, provide the dates collection of information will begin and end. August - December 2018

5. Does this Survey have an SOI (Statistics of Income) control number? Yes

5.a. If yes, enter the number. CS 18-494

6. Does the Information Collection Request require OMB Clearance? Yes

6.a. If yes, what is the OMB Clearance number? 1545-1432

A.1. General Business Purpose

7. What is the general business purpose of this Survey? Provide a clear, concise description of the Survey, the reason for the Survey, and the benefits to the IRS mission.
The Taxpayer Advocate Service (TAS) will update its knowledge of the size and composition of the TAS underserveds (taxpayers eligible for but who do not use TAS services). We will also determine whether the underserveds segment in the same way as they did in 2007, and if not, how to define current underserveds (taxpayers eligible to use TAS services, but not receiving those services) in addition to what these taxpayers know and expect of TAS and the IRS when they face problems with the IRS. Furthermore, TAS wants to use the 2017 research to augment its learning about where the underserved are living and how this might affect TAS decisions to locate its local offices, to learn the extent to which taxpayers in general, and the underserved have learned about the Taxpayer Bill of Rights; and to understand the role that social media is playing in the lives of the underserved population (with this helping TAS communications evolve and be more effective in reaching these taxpayers).

B. PII Details

8. Is Personally Identifiable Information (PII) used, collected, received, displayed, stored, maintained, or disseminated in the Survey; or is PII used to select participants? (i.e. names, addresses, email addresses, etc.)? Yes

8.a. If yes, specify the information.

<u>On</u> <u>Primary</u>	<u>On Spouse</u>	<u>On</u> <u>Dependent</u>	<u>Selected</u>	<u>PII</u> <u>Element</u>
No	Name	No	No	No
No	Mailing address	No	No	No
Yes	Phone Numbers	No	No	No
No	E-mail Address	No	No	No
No	Date of Birth	No	No	No
No	Place of Birth	No	No	No
No	SEID	No	No	No
No	Mother's Maiden Name	No	No	No
No	Protection Personal Identification Numbers (IP PIN)	No	No	No
No	Internet Protocol Address (IP Address)	No	No	No
No	Criminal History	No	No	No
No	Medical Information	No	No	No
No	Certificate or License Numbers	No	No	No
No	Vehicle Identifiers	No	No	No
No	Passport Number	No	No	No
No	Alien (A-) Number	No	No	No
No	Financial Account Numbers	No	No	No
No	Photographic Identifiers	No	No	No
No	Biometric Identifiers	No	No	No
Yes	Employment (HR) Information	No	No	No
Yes	Tax Account Information	Yes	No	No

8.b Are there other types of PII collected in the Survey? Yes

8.b.1. If yes, describe the other types of PII that are applicable to this Survey. language, gender, age range, social media use, government service use, education, marital status, education level, first three digits of respondent's ZIP Code

8.c. Is any PII data collected, disclosed, or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate? Yes

C. Privacy Act & System of Records

9. Is there a System of Records Notice(s) or SORNs that addresses the PII records in this Survey? Yes

9a. If yes, enter the SORN number(s) and the complete name of the SORN(s).

<u>SORNS Number</u>	<u>SORNS Name</u>
IRS 00.003	Taxpayer Advocate and Survey Records

C.1. Privacy Act Notice

9.1 Based on the information you have provided, does the Survey require a Privacy Act Notice to be provided to participants? Yes

9.1.a. If yes, please provide the Privacy Act Statement. The primary purpose TAS is requesting this information is to improve our understanding of taxpayers who may need TAS assistance and how to improve their awareness and use of our services. Our authority for requesting this information is 5 USC and the IRS Restructuring and Reform Act, which requires the IRS to measure and improve customer satisfaction. Providing the information is voluntary. We encourage you to complete the survey so we can improve our service to you. The information may be disclosed when authorized by law to contractors who use it to help the IRS and TAS conduct the survey or improve tax administration. These contractors are subject to disclosure restrictions as provided by law. If you do not complete the survey, the IRS will not be able to have the benefit of your insight to improve our customer service.

D. Responsible Parties

10. Identify the individuals for the following Survey roles: (System Owner = Survey Owner/Business Owner) ## Official Use Only

E. Incoming PII Interfaces

11. Does the employee/taxpayer PII come from the IRS, Treasury, or other Government system(s), application(s) or data base(s)? No

11.1. Does the data come from other sources? Yes

11.1.a. If yes, describe the source of the information. A vendor will provide the contractor with a list of random digit dialing phone numbers (area code and prefix). For the online survey, a vendor will provide qualified panelists access to Russell Research's secure survey website. The panel firm provides a group of panelists that meet specified criteria (similar to the U.S. Census population). Russell Research uses a numerical identification number to identify the participants and reports participants to the panel supplier. This allows the panel supplier to tailor panelists' characteristics to match those needed for a representative sample. For example, if all panelists who had completed the survey were in the older age categories, the panel firm could focus on sending younger panelists to the survey website. All data is encrypted and backed up to a secure backup facility daily unless requested otherwise. In-house systems are housed behind a Cisco security appliance with advanced security licensing, and all information systems at Russell are behind lock and key with 24/7 video surveillance both at the entrance and within the datacenter.

F. PII Sent to External Organizations

12. Are the Survey results disclosed to any other Federal or State Government? (For example, the Federal Viewpoint Survey/Questionnaire – OPM gets the results.) No

13. Are any external resources used to create the database of the participants? Yes

13.a. If yes, identify the external resources used to create the database, how the data is transmitted and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
Russell Marketing Research	Password-secured encrypted SecureZIP file	No

G. Survey Participation

14. Will the Survey be administered to IRS, Taxpayers or Others? Taxpayers

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. Potential respondents in the Telephone component of the research will be called by trained telephone interviewers operating from the contractor's national telephone interviewing center in East Rutherford, NJ. This center operates from 10 a.m. to 12 midnight to allow for 10 a.m. to 9 p.m. calling hours in each US continental time zone. Potential respondents will be selected from a Random Digit Dialing (RDD) list of computer-generated telephone numbers in working telephone exchanges across the US. The vendor will provide the RDD list. This RDD list will include a representative proportion of cell phones (60-65%) and landlines (35-40%). Cell phone users will be surveyed with different dialing equipment from landline users in compliance with the FCC's standing regulations regarding calling cell phones vs. landlines. The contractor's telephone interviewing staff will screen survey candidates and identify potential respondents per the screening criteria detailed above. The telephone numbers of potential respondents will be dialed up to 5 times in order to establish contact with a potential respondent, with most of these dialings resulting in non-contact (number busy, voice-mail, non-working, etc.). After the first live contact with a potential respondent, interviewers will request their participation in the survey. If they agree, they will be screened for qualification and if qualified, interviewed at that time. If they do not agree, they will be recontacted by a more senior interviewer who will also try to include them in the survey. If they then refuse again, this person will be recorded in call records as a refusal and not contacted again. Potential Online respondents will be selected on a random sampling basis from the vendor's partner panels in Census representative proportions for age, gender, region, and ethnicity and then screened for the same qualification as the Telephone survey respondents. There are no repeat attempts on Online samples. The contractor provides the numerical identification number to the panel supplier. The supplier then tailors who they send to the secure survey website for screening and potential participation. Each of the surveys will include some Spanish-speaking respondents, who will be offered the option of being interviewed in either Spanish or English, depending upon their preferences.

16. How are participants notified of the Survey? Either by telephone or through an invitation from the panel supplier.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? Russell Marketing Research, Inc., the Taxpayer Advocate Service (TAS) contractor for this study, will conduct the data collection. Upon the first live contact with a potential telephone respondent, the interviewers will request their participation and will be informed that this is a voluntary survey. If they agree, they will be screened for qualification and, if qualified, interviewed at that time. If they do not agree, they will be recontacted by a more senior interviewer who will also try to include them in the survey. If they then refuse again, this person will be recorded in call records as a refusal and not contacted again. Similar online participants will be informed the survey is voluntary on first contact.

18. How will the Survey be conducted?

18.a.2. What application is used to create the survey?
(Survey Manager, Centra, Verint/Vovici, Live Meeting, ELMS, TEMPO, SharePoint, Other)

If Other, please explain.

Yes Web Based

Explain the delivery method & if cookies are used. The online survey will be hosted on the servers of the vendor (Russell Marketing Research, Inc.). Potential respondents to this research will be sent to the online survey by the vendor's panel partner, where they will be screened for qualification for the research and, if qualified, then guided electronically through the survey until completion. It is expected that about 4-5% (80-100) will be Spanish-speaking respondents. Surveys will be conducted in Spanish, if requested. Note: Russell does not capture cookies on respondents to its online surveys.

Yes Phone

Explain the procedure. Potential respondents for the telephone components of this research will be selected by the vendor (Russell Marketing Research, Inc.) from vendor-provided lists of random digit dialing phone numbers, including both landline and cell/mobile numbers. At present, the proportions for landline and cell phone numbers in these two groups are roughly 60/40. It is expected that about 4-5% (80-100) will be Spanish-speaking respondents. Surveys will be conducted in Spanish, if requested.

G.1. Survey Process

19. Does IRS administer or perform analysis of the survey? Analysis

Provide the name of the IRS office administering the survey.

Provide the name of the IRS office performing analysis of the survey. TAS Research and Analysis may run additional analyses after receiving survey data.

20. Does Contractor/Vendor administer or perform analysis of the survey? Yes

Contractor/Vendor: Both

Provide the name of the Contractor/Vendor. Russell Marketing Research, Inc.

Has a Contracting Officer or a Contracting Officer's Representative (COR) verified that:

20.a.1. All applicable FAR requirements are met to engage a contractor to perform the survey. Yes

20.a.2. That all required "non-disclosure" clauses are contained in the contract. Yes

20.a.3. That all contractor employees who will have access to the data have signed non-disclosure agreements and the non-disclosure forms are on file with the COR. Yes

20.b. If yes, what is the level of access and background investigation completed on contractor employees prior to access to PII about employees or taxpayers? *Any contractor or subcontractor who will have access to the PII should have at least a "Moderate Risk" (NACIC) investigation. See Publication 4812 - Contractor Security Controls.*

Contractor Users	Yes	Read-Only	Low
Contractor Managers	Yes	Read and Write	Low
Contractor Sys. Admin.	Yes	Administrator	Low
Contractor Developers	No		

I. Information Protection

21. What information/results will be provided to the business owners (IRS Requestors) of the Survey?
All survey data except phone number or online account information

22. Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances? Yes

23. Can you confirm that no adverse actions can be taken against participants regarding the participant's answers. Yes

24. For employee or taxpayer Satisfaction Surveys, can you verify that no "raw" or un-aggregated employee or taxpayer data will be provided to any IRS office? N/A

25. Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey? Yes

25a. If yes, what will be provided to the business owner, explain the business reason. Phone numbers will NOT be shared with TAS. Other data will be shared to allow for additional data analysis as needed. This data is needed to determine the size of the TAS Underserved population and how best to reach and serve these taxpayers.

I.1 Records Schedule

26. Are the Survey records covered under the General Records Schedule (GRS), or have a National Archives and Records Administration (NARA) archivist approved a Record Control Schedule for the retention and destruction of official agency records stored in this Survey?

Yes

26.a. If Yes, how long are the records required to be held under the corresponding RCS and how are they disposed of? Explain how long any PII data will be retained by the contractor if they are conducting the Survey on behalf of the IRS. In your response, please include the complete IRM number and specific item number and title.

1.15.2.6 (08-03-2017) Where can I find the Records Control Schedules? (1) Records Control Schedules are available for each IRS major function. These schedules are published in Document 12990. See Exhibit 1.15.2-1. 1.15.2.7 (08-03-2017) Retrieving Schedules Electronically (1) All Records Control Schedules are available through Electronic Publishing via the IRS intranet at: <http://www.publish.no.irs.gov>, or from the Records and Information Management SharePoint at [https://portal.ds.irsnet.gov/sites/vl003/pages/home.aspx?bookshelf=records management](https://portal.ds.irsnet.gov/sites/vl003/pages/home.aspx?bookshelf=records%20management). Note: This disposition request is pending NARA approval. Prior to any final records disposition actions, check with Area Records Manager regarding status. a. Records whether studies, analyses or

correspondence, which established the policies, practices and programs for the management of the Taxpayer Advocate Service organization. Included are organizational changes, functional realignments and responsibilities, and long and short-range planning documents. PENDING DISPOSITION PERMANENT. Cut off correspondence annually; studies and case files upon completion of study or at appropriate phase. Retire to Records Center 5 years after cutoff, or when no longer needed. Transfer to NARA 15 years after cutoff.

P.1 Data Security

27. 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? Where and how is it stored and protected? TAS will store the survey data on its IRS Server. Data will be encrypted to minimize data risks.

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

28.a. If yes, please provide the Cyber security approved security and encryption used when data is transferred electronically from IRS to Contractors and back to the IRS. Data will be transferred between IRS and the contractor. The survey results will be provided to TAS upon completion of the study in electronic format as a password-secured encrypted SecureZIP file. The contractor has a working copy of SecureZIP and a password has been established to use for enhanced security.

28.b. If yes, when data is not sent electronically, provide in detail the information regarding the transfer back and forth from the IRS to contractors. N/A

28.c. If yes, how is the survey PII protected and stored when it is housed at a contractor's site, on contractor's computers, please provide detailed information that the contractors use regarding the physical and electronic security and protection of the data before, during, and after the survey. The contractor acknowledges the security and safeguard requirements enumerated in the Statement of Work for this contract. All Russell staff accessing data protected by the Privacy Act of 1974 have already been through a National Agency Check with Law and Credit (e.g., Low-level) background investigation (as part of the company's IRS contracts). In addition, Russell maintains a comprehensive data security program, designed to meet all disclosure and privacy safeguard provisions required by federal agencies. These procedures include electronic protections, physical security mechanisms, staff training, contingency and incidence reporting, and documentation. The IRS periodically conducts reviews of Russell's data security and data safeguarding procedures. Furthermore, Russell's staff receives formal training upon hire and every year thereafter in addition to reviewing security issues at regular staff meetings. In 21 years of securing sensitive government data, Russell has not experienced either a willful or inadvertent breach of data security, and will destroy all data obtained from this survey at the expiration of this contract with TAS.

M. Civil Liberties

29. 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 and of the press, and freedom of assembly and petition)? No

30. Will this Survey have the capability to identify, locate, and monitor individuals or groups of people? No

End of Report
