

# Survey PCLIA Report

Date of Approval: February 21, 2017

Survey PCLIA ID Number: **2122**

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## A. Survey Description

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1. Full name and acronym of the Survey. Taxpayer Experience Survey, TES
2. Is this a Survey, Telephone Interview or Focus Group? Telephone Interview

*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.*

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3. Is this a new Survey? No
    - 3.b. If no, is there a PCLIA for this Survey? No
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4. Is this a reoccurring Survey? Yes
  - 4.a. If yes, list the schedule or requested operational date(s) of when the Survey will be administered. once per year during filing season

5. Does this Survey have an SOI (Statistics of Income) control number? No

6. Does the Information Collection Request require OMB Clearance? No
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### A.1. General Business Purpose

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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 purpose of this research is to conduct a test of the Taxpayer Experience Survey (TES) to make the survey easier to understand prior to fielding the survey. 1. Please provide the criteria for selecting taxpayers for the survey. This is PIA is for the cognitive test of the survey, not the actual survey. Participants are selected from XXX existing XXX Panel, which is a nationally representative panel of volunteers who have agreed to participate in research. For the purposes of recruiting for the cognitive interviews, potential participants will be contacted via email or telephone using the contact information they previously provided as part of their panel membership. Potential participants are informed that their participation is completely voluntary and we require their consent before moving ahead with the interview. What kind of experiences with IRS is the survey asking questions about? The test asks the participants to think aloud while responding to the survey in order to improve the survey. It asks about pre-filing, filing, and post-filing experiences. 2. What information is IRS planning to provide to the contractor for the survey? For example, is IRS providing names of individuals who have received collection or exam notices? none 3. Please provide a copy of the contract and/or BPA with the disclosure and privacy clauses highlighted. Attached—about the last half of the document is disclosure, privacy and other security

clauses. 4. The statement that IRS does not have PII or request PII does not abrogate the requirements of 26 USC 6103 (n) , 5 USC 552a ( the Privacy Act of 1974 ) and the Federal Acquisition Regulations (FAR) 48 CFR, if IRS wants to provide information protected by the confidentiality provisions of the aforementioned statutes to the contractor, or alternatively if the contractor creates information for specific performance of the contract that is sensitive but unclassified. In some instances contractors draw from their own list of individuals who have agreed to participate in a contractor's survey for a feed. If this is the case, and if IRS is not providing any information about any individual to the contractor please explain. Participants are selected from XXX existing XXX Panel.

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## B. PII Details

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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)? No

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## C. Privacy Act & System of Records

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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>
<u>TREAS/IRS 00.003</u>	<u>TREAS/IRS 00.003</u>

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### C.1. Privacy Act Notice

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9.1 Based on the information you have provided, does the Survey require a Privacy Act Notice to be provided to participants? No

9.1.b. If no, please add the Disclosure office agreement date? 1/24/2017

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## D. Responsible Parties

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

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## E. Incoming PII Interfaces

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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. The contractor maintains all the PII used to recruit/select participants, such as names, addressess, e-mail addressess, and/or phone numbers.

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**F. PII Sent to External Organizations**

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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? No

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**G. Survey Participation**

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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. The contractor notifies participants. Participants are selected from ### (the subcontractor) existing ### Panel, which is a nationally representative panel of volunteers who have agreed to participate in research. For the purposes of recruiting for the cognitive interviews, potential participants will be contacted via email or telephone using the contact information they previously provided as part of their panel membership. Potential participants are informed that their participation is completely voluntary and we require their consent before moving ahead with the interview. ### Official Use Only

16. How are participants notified of the Survey? The contractor notifies participants. Participants are selected from ### (the subcontractor) existing ### Panel, which is a nationally representative panel of volunteers who have agreed to participate in research. For the purposes of recruiting for the cognitive interviews, potential participants will be contacted via email or telephone using the contact information they previously provided as part of their panel membership. Potential participants are informed that their participation is completely voluntary and we require their consent before moving ahead with the interview. ### Official Use Only

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? by agreeing to participate in the test Potential participants are informed that their participation is completely voluntary and we require their consent before moving ahead with the interview.

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18. How will the Survey be conducted?

No Electronically.

No Web Based

Yes Phone

Explain the procedure. The contractor notifies participants. Participants are selected from ### (the subcontractor) existing ### Panel, which is a nationally representative panel of volunteers who have agreed to participate in research. For the purposes of recruiting for the cognitive interviews, potential participants will be contacted via email or telephone using the contact information they previously provided as part of their panel membership. Potential participants are informed that their participation is completely voluntary and we require their consent before moving ahead with the interview. ### Official Use Only

No Mail

No Other

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**G.1. Survey Process**

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19. Does IRS administer or perform analysis of the survey? Neither

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

Contractor/Vendor: Both

Provide the name of the Contractor administering the survey. ### ### Official Use Only

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*

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<b>Contractor Users</b>	<b>Yes</b>	<b>Read and Write</b>	<b>Moderate</b>
<b>Contractor Managers</b>	<b>Yes</b>	<b>Administrator</b>	<b>Moderate</b>
<b>Contractor Sys. Admin.</b>	<b>Yes</b>	<b>Administrator</b>	<b>Moderate</b>
<b>Contractor Developers</b>	<b>Yes</b>	<b>Administrator</b>	<b>Moderate</b>

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**I. Information Protection**

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21. What information/results will be provided to the business owners (IRS Requestors) of the Survey? Recommendations for improving the survey prior to administration.

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? Yes

25. Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey? No

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## I.1 Records Schedule

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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?

No

26.b. If No, how long are you proposing to retain the records? Please note, if you answered no, you must contact the IRS Records and Information Management Program to initiate records retention scheduling before you dispose of any records in this Survey.

These Survey/Focus Group records are unscheduled. A request for records disposition authority for these records (and other similar records Service-wide) will be drafted with the assistance of the IRS Records and Information Management Program Office. When approved by the National Archives and Records Administration (NARA), it is anticipated that disposition instructions will include retentions for the datasets/raw data, background documentation, and summary/final reports, as applicable. Disposition of records created by the IRS, including those records created by all Service employees and contractors performing agency functions, is controlled using the Service-wide Records Control Schedules. By that token, W&I records created and/or maintained by the vendor on behalf of the Service must follow the same records disposition authority submitted to/approved by NARA...TBD. At the completion of the vendor contract, W&I Survey/Focus Group records still in existence will be surrendered by the contractors to designated persons in IRS or will be transferred to another contractor with the express permission and instructions from IRS staff responsible for the records.

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## P.1 Data Security

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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? A detailed security visit is conducted with all contractors and subcontractors every year in order for them to maintain at least a moderate security clearance. The system is entirely under contractor control and is included in the security review.

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. no data are transferred

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. no data are transferred

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 uses regarding the physical and electronic security and protection of the data before, during, and after the survey. A detailed security visit is conducted with all contractors and subcontractors every year in order for them to maintain at least a moderate security clearance. The system is entirely under contractor control and is included in the security review.

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## M. Civil Liberties

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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

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**End of Report**

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