

Survey PCLIA Report

Date of Approval: January 19, 2018

Survey PCLIA ID Number: **3115**

A. Survey Description

1. Full name and acronym of the Survey. 2018 Virtual Service Delivery Survey, 2018 VSD Survey
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? No

3.b. If no, is there a PCLIA for this Survey? Yes

3.b.1. If yes, enter the full name, PCLIA ID, and acronym most recent Survey PCLIA. 2017 Virtual Service Delivery Survey, CS-16-476

3.b.2. If yes, enter the reference number (include SOI, OPC, TCBC, or Other). CS-16-476

3.b.3. If yes, enter the approval date of the most recent Survey PCLIA. 11/7/2016

3b.4. If yes, indicate which of the following changes occurred to require this update. (Check all that apply)

<u>No</u>	Addition of PII
<u>No</u>	Anonymous to Non-Anonymous
<u>No</u>	Contract changes/expires
<u>Yes</u>	PCLIA Expired
<u>No</u>	OMB Required Update

3.b.5. If yes, were there other changes not listed above? No

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. The Virtual Service Delivery (VSD) Survey will be administered annually, during filing season. The first survey administration period took place between February 8, 2017 and April 28, 2017. The second survey fielding period will take place between mid-January 2018 and April 30, 2018. The last administration period is expected to occur during mid-January 2019 and April 2019.

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

5.a. If yes, enter the number. CS-17-489

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

6.a. If yes, what is the OMB Clearance number? 1545-1432 Customer Satisfaction (general) Surveys

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 Virtual Service Delivery (VSD) point of service survey will measure taxpayers' satisfaction with the VSD service offered as well as resolution, willingness to use this service channel in the future, and the VSD appointment experience. This information will be used to ensure that VSD is meeting the needs of taxpayers who are using the service. Information collected from the point of service customer satisfaction survey will be used to provide meaningful feedback to Field Assistance (FA) managers and staff. This survey will assist in assessing overall customer satisfaction and overall quality for balanced measures.

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)? No

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>
Treas/IRS 00.001	Correspondence
Treas/IRS 00.003	Taxpayer Advocate and Customer Feedback and Survey

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 surveys will include the following information: The authority requesting the information is 5 USC 301. The primary purpose of asking for the information is to determine steps IRS can take to improve our service to you. The information may be disclosed as authorized by the routine uses published for the Privacy Act System of Records entitled, Treas/IRS 00.001 Correspondence Files, including Stakeholder Partnership File, and Correspondence Control Files, as published in the Federal Register: December 10, 2001 (Volume 66, Number 237)] [Notices] pages 63785-6. Providing the information is voluntary. Not answering some or all of the questions will not affect you.

D. Responsible Parties

10. Identify the individuals for the following Survey roles: ## 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? No

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? 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. The sampling frame consists of taxpayers who make an appointment at a VSD partner location. The survey will be offered each day the VSD partner sites are open. All participants who have scheduled appointments on data collections days will be offered the survey (by the remote assistor) after they complete their VSD appointment.

16. How are participants notified of the Survey? Participants are notified of the VSD Survey by the VSD remote assistor at the completion of the VSD interaction. The on screen IRS representative will invite taxpayers using the following script. Script: You have been selected for an anonymous IRS improvement survey. It will take under five minutes to complete. Would you like to participate in this voluntary survey? [If YES:] Thank you. Please pick up a survey which is located near the monitor. When you are finished, please place it in the drop box next to the monitor. [If NO:] Okay, thank you.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? The VSD Remote Assistor's script to invite taxpayers to participate in the survey as well as the introduction on the paper survey inform the taxpayer that it is a voluntary survey.

18. How will the Survey be conducted?

No Electronically

No Web Based

No Phone

No Mail

Yes Other

Please explain. Each day the VSD partner sites are operating, customers who schedule an appointment at a VSD site will be invited to complete the paper point of service survey after their VSD interaction. The on screen IRS representative will invite taxpayers using the following script. Script: You have been selected for an anonymous IRS improvement survey. It will take under five minutes to complete. Would you like to participate in this voluntary survey? [If YES:] Thank you.

Please pick up a survey which is located near the monitor. When you are finished, please place it in the drop box next to the monitor. [If NO:] Okay, thank you.

G.1. Survey Process

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

Provide the name of the IRS office administering the survey.

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

Provide the name of the IRS office. W&I Strategies and Solutions, Research Group 1

20. Does Contractor/Vendor administer or perform analysis of the survey? No

I. Information Protection

21. What information/results will be provided to the business owners (IRS Requestors) of the Survey? No information will be provided to the business owners (Field Assistance) that would allow the business owner to identify the taxpayers who participate in the survey. The information and results provided will include: customer satisfaction rates, issue resolution rates, key themes from taxpayer experiences, areas of taxpayer interest for additional assistance, suggestions for improvement, and proposed changes to the VSD service delivery process at the completion of data collection.

22. Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances? No

22a. If No, please explain. Every taxpayer who receives VSD service is invited to participate in this customer satisfaction survey; no PII data is used to select participants. Additionally, the customer survey does not gather the taxpayer's identity or any information to identify respondents. However, a few VSD locations have small customer service populations and could be considered problematic. For example, it's possible one single appointment could occur at a VSD site during a survey administration period (i.e., two weeks) and one survey returned. If the IRS appointment scheduling tool was used to find that appointment, the taxpayer could be identified. It is of the utmost importance that survey participants remain anonymous. Therefore, individual taxpayer information from the appointment scheduling tool will not be used during the project.

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

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.

A request for records disposition authority for this Survey (and other similar external surveys Service-wide) is currently being 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. Cyber-security and NIST Standards for records retention requirements state that documents must be securely maintained for seven years prior to destruction. These requirements will obviously be considered in drafting a final request for records disposition authority for NARA submission and approval. Reference other data security guidance/policy: NIST 800-53, Recommended Security Controls for Federal Information Systems & Organizations (Media Protection, Media Storage, System and Information Integrity) NIST Special Publication 800-88 CSS BPA contract Section Secure Data Transfer (SDT) equipment CSS BPA contract IRSAP clause 1052.224-9000(c)

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? No PII data will be collected during survey administration. All survey data will be entered and securely stored on an encrypted IRS server. Completed paper surveys will be mailed to W&I Strategies and Solutions Research using UPS overnight mail and will be double packaged with a shipping label on the internal package and external package to ensure no data is lost in transit. The completed paper surveys will be kept in locked file cabinets in secure IRS office space.

28. Does a contractor/vendor administer or perform analysis of the survey? No

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
