

# Survey PCLIA Report

Date of Approval: May 8, 2017

Survey PCLIA ID Number: **2600**

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## A. Survey Description

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1. Full name and acronym of the Survey. Phase III of Automated Telephone Scripting and Routing Research – Testing the IRS Individual Toll-Free Line (800-TAX-1040), 1040 line

2. Is this a Survey, Telephone Interview or Focus Group? Focus Group

*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

4. Is this a reoccurring Survey? No

4.b. If no, provide the date's collection of information will begin and end. Suggested 06012017-06012018

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

5.a. If yes, enter the number. SOI-513

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

6.a. If yes, what is the OMB Clearance number? 1545-1349 – Cognitive & Psychological Research – Focus Groups/Interviews

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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. Taken together, the proposed research will support current efforts by AM and the JOC to increase efficiencies and reduce taxpayer burden associated with toll-free service. The information gathered from these efforts will combine IRS data with the taxpayer perspectives to create a rich dataset which can be used to inform future changes to the overall design of the IRS' toll-free telephone environment and associated communication models.

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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)? Yes

8.a. If yes, specify the information.

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<b>Selected</b>	<b>PII Element</b>	<b>On Primary</b>	<b>On Spouse</b>	<b>On Dependent</b>
Yes	Name	Yes	No	No

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No	Mailing address	No	No	No
No	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
No	Employment (HR) Information	No	No	No
No	Tax Account Information	No	No	No

8.b Are there other types of PII collected in the Survey? No

8.c. Is any PII data collected, disclosed, or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate? 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>
Treas/ IRS 00.001	Correspondence Files and Correspondence Control Fi
Treas/IRS 00.003	Taxpayer Advocate Service and Customer Feedback an

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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? Yes

9.1.a. If yes, please provide the Privacy Act Statement. FAR 52.224-1 Privacy Act Notification (Apr 1984) FAR 52.224-2 Privacy Act (Apr 1984)

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### D. Responsible Parties

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

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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 shall recruit participants for 4 two-hour focus groups with taxpayers that have previously interacted with the toll-free line. One focus group will be conducted in Atlanta, GA. The remaining three focus groups will be conducted in 3 geographically dispersed cities to be approved by W&I Research. The Moderators Guide for Study 1 will be developed solely by W&I Research and the focus groups will be moderated by trained analysts in W&I Research. The contractor shall recruit 10 to 14 participants for each focus group – with the objective to retain a minimum of 8 participants per session.

16. How are participants notified of the Survey? At minimum, follow-up phone calls with participants recruited will be made by the contractor to ensure that 10 to 12 show-up for the focus groups. The contractor will provide audio recordings of each focus group to W&I Research and deliver the honorarium to participants.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? Participants will be advised in the invitation and at the start of the survey that their participation is completely voluntary and optional.

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18. How will the Survey be conducted?

No Electronically

No Web Based

No Phone

No Mail

Yes Other

Please explain. First study-The Moderators Guide for Study 1 will be developed solely by W&I Research and the focus groups will be moderated by trained analysts in W&I Research. Second study- The contractor shall propose a methodology for conducting the usability testing sessions on the 1040 Line menu and potentially elements of the Interactive Voice Response System.

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#### **G.1. Survey Process**

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

Provide the name of the IRS office administering the survey. ADMINISTER Study 1 BY Wage and Investment

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

Contractor/Vendor: Both

Provide the name of the Contractor/Vendor. XXX # # 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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Contractor Users	Yes	Administrator	Moderate
Contractor Managers	No		
Contractor Sys. Admin.	No		
Contractor Developers	No		

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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? At the conclusion of the planning meeting, but not more than two business days thereafter, the contractor shall provide a project planning summary report which shall include issues/decisions made with regard to the project. During focus group recruitment, the contractor will provide W&I Research with weekly progress reports, including but not limited to the number of participants recruited in each city. These reports will also include issues with focus group recruitment and administration. Upon request, the contractor will be required to submit additional data or documentation to support the Office of Management and Budget(OMB)clearance document originated by the government. The contractor will provide information (e.g., burden hours, number of respondents, response rates, etc.) to W&I Research for preparation of documents needed to obtain any and all approvals for the focus groups from the OMB. The contractor shall prepare a draft of the Focus Group Report within 10 working days of completion of focus groups. The report should summarize the key highlights of the focus groups and ensure that top-priority customer concerns are reflected in the focus group report. W&I Research will review the draft report and respond back to the contractor on any comments or questions. The contractor shall prepare a draft of the Focus Group Report within 10 working days of completion of focus groups. The report should summarize the key highlights of the focus groups and ensure that top-priority customer concerns are

reflected in the focus group report. W&I Research will review the draft report and respond to the contractor on any comments or questions.

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? 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? 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 surveys Servicewide) 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 instructions for this survey will include retentions for the datasets/raw data, background documentation, and summary/final reports, as appropriate. Cyber-security and the National Institute of Standards and Technology standards for records retention requirements state that documents must be securely maintained for seven years prior to destruction or until the end of the contract term (Period Of Performance), whereas the participation of the contractor under the CSS BPA has been terminated. These requirements will obviously be considered in drafting a final request for records disposition authority for NARA submission and approval.

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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? No taxpayer PII is collected for the survey.

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. Cyber-security and National Institute of Standards and Technology (NIST) standards require data to be transferred via password protected encrypted disk via FedEx overnight mail (including return acknowledgement form,) through the Electronic File Transfer Unit (EFTU), or using the Secure

Zip data transfer method. Although EFTU and Secure Zip are preferred, currently all methods are being used. Anytime a bulk file encryption is used, requiring the sharing of an encryption phrase, the pass phrase will be communicated separately from the email/package, with an alternate method to communicate, e.g., phone call to communicate pass phrase.

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. Cyber-security and NIST standards require data to be transferred via password protected encrypted disk via FedEx overnight mail (including return acknowledgement form,) through the EFTU, or using the Secure Zip data transfer method. Although EFTU and Secure Zip are preferred, currently all methods are being used. Any time a bulk file encryption is used, requiring the sharing of an encryption phrase, the pass phrase will be communicated separately from the email/package, with an alternate method to communicate, e.g., phone call to communicate pass phrase.

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. No PII data is stored or housed at the contractor's site.

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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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