

Survey PCLIA Report

Date of Approval: April 17, 2017

Survey PCLIA ID Number: **2302**

A. Survey Description

1. Full name and acronym of the Survey. Usability Testing of Prototypes, Tax Forum OLS Testing
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 dates collection of information will begin and end. IRS will collect data at each of the 2017 Tax Forums. The Tax Forum dates are: • Orlando, FL. July 11-13, 2017 • Dallas, TX. July 25-27, 2017 • National Harbor, MD. August 22-24, 2017 • Las Vegas, NV. August 29-31, 2017 • San Diego, CA. September 12-14, 2017

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

5.a. If yes, enter the number. SOI-508

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. As outlined in the Internal Revenue Service (IRS) Strategic Plan, the agency is working towards delivering high-quality service to reduce taxpayer burden and encourage voluntary compliance. Consequently, the IRS seeks to develop a Future State of IRS service delivery that provides the most convenient and efficient service to taxpayers utilizing technologies, optimizing service channels, and partnering with third parties to assist taxpayers based on their need and preferences. Online Services (OLS) and Wage & Investment Strategies & Solutions (WISS) hosted activities at the 2016 Tax Forums to provide information and conducted research. Activities included a Future State seminar, IRS.gov research, product demonstrations, and Future State focus groups. OLS used the research results in redesigning the tax professional landing page and designing tax professional digital services. At this year's Tax Forums, WISS has partnered with OLS to collect information from tax professionals about the irs.gov redesign and a prototype of an online account for tax professionals. WISS will conduct usability tests with individual tax professionals at each Tax Forum to collect feedback and identify potential problem areas. From an operational value perspective, the purpose of this study is to collect information directly from tax professionals in order to assess usability of the redesigned irs.gov and Online Account prototype. From a taxpayer value perspective, the purpose of this study is to ensure that irs.gov and Online Account are designed to best meet the needs of tax professionals and the taxpayers they serve. OLS will use the data from this study to make changes to irs.gov and Online Account.

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? No

9b. If No, explain why the Survey does not have a SORN? Records are not retrieved by an identifier for an individual, so a system of records notice is not applicable. No PII data will be used during this focus group or used to select participants. Focus group participants will be recruited in-person by WISS employees from individuals attending the 2017 IRS Nationwide Tax Forums.

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? No

9.1.b. If no, please add the Disclosure office agreement date? 3/20/2017

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 ? Others

If Others, please explain. The testing sessions will be administered to tax professionals who attend the 2017 Tax Forums and volunteer to participate.

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. The IRS has a focus group recruitment booth at each year's

Tax Forums to recruit tax professionals from the focus group attendees. Individuals will be recruited at this booth by IRS employees. Those who choose to participate will be provided with a reminder card that includes the date, time, and location of their interview. No information will be collected from the participants.

16. How are participants notified of the Survey? Participants will be provided a brief description of the research in the session schedule information available to Tax Forum participants. In addition, the research will be listed on the focus group recruitment table board and IRS employees will be at the booth to tell Tax Forum participants about the research, answer questions, and recruit individuals to participate.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? Individuals will be advised during recruitment and via the moderators instructions at the beginning of the individual sessions.

18. How will the Survey be conducted?

No Electronically

No Web Based

No Phone

No Mail

Yes Other

Please explain. The focus group will be conducted in person.

G.1. Survey Process

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

Provide the name of the IRS office. Wage & Investment Strategies and Solutions

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? Business owners will receive summarized findings regarding overall themes that emerged from the sessions. There will be no information within any report that could identify an individual participant. Any use of quoted statements will not be attributed to a single participant.

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

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.

Disposition of records created by the Internal Revenue Service, including those records created by all Service employees and contractors performing agency functions, is controlled using the Service-Wide Records Control Schedules. WISS will work with the IRS Records Office to obtain the legal requirements for the retention and disposition of their survey data. This research project is being conducted without contractor support. No PII will be obtained from the sessions. No PII will be obtained or collected from the sessions; however, Cyber-security and National Institute of Standards and Technology (NIST) require data to be transferred through the Electronic File Transfer Unit (EFTU), or using the SecureZip data transfer method. EFTU and SecureZip are preferred and will be used. Any time 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., via telephone call to communicate the pass phrase). No PII data will be obtained from the sessions. All data is required to be segregated from other non IRS data. In addition, all data at rest or in transport must be encrypted. Whenever information is stored on IT assets at the facility, the contractor must be compliant with the implementation of NIST 800-53, Recommended Security and Privacy Controls for Federal Information Systems and Organizations controls. The 2017 IRS Nationwide Tax Forum testing sessions are un-scheduled. A request for records disposition authority for this focus group (and other similar focus groups 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 focus group will include retentions for the datasets/raw data, background documentation, and summary/final reports, as appropriate. Cyber-security and NIST standards (see reference below) for records retention requirements state that documents must be securely maintained for seven years prior to destruction. These requirements will be considered in drafting a final request for records disposition authority for NARA submission and approval. NIST Data security guidance/policy reference: NIST 800-53, Recommended Security and Privacy Controls for Federal Information Systems and Organizations (Media Protection, Media Storage, System and Information Integrity) NIST Special Publication 800-88 CSS BPA contract Section Secure Data Transfer (SDT) Requirement 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? The 2017 IRS Nationwide Tax Forum sessions are un-scheduled. A request for records

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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
