

Survey PCLIA ID Number: 3783
Date of Approval: May 31, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

Services Migration Survey and Interface, SU-3783

Type of Survey:

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 Moderator's Guide will be requested by the Privacy Analyst.

Is this a new Survey?

Yes

Is this a reoccurring Survey?

Yes

List the schedule or requested operational date(s) of when the Survey will be administered.

Base Period - September 1, 2018 through February 29, 2020 Option Period - March 1, 2020 through August 31, 2021

Does this survey have an SOI (Statistics of Income) control number?

No

Does the Information Collection Request require OMB clearance?

Yes

What is the OMB Clearance number?

OMB 1545-2274

GENERAL BUSINESS PURPOSE

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 Internal Revenue Service (IRS) Wage & Investment Strategies and Solutions (WISS), in collaboration with Research, Applied Analytics & Statistics (RAAS) and Online Services (OLS), has initiated the Taxpayer Service Channel Migration Project. The IRS is exploring a web-first strategy aimed at increasing and promoting online services to decrease service. The primary goal of this effort is to investigate the entire service ecosystem to determine how taxpayers migrate between service channels, what motivates taxpayers to want to shift to online service, and the impact on taxpayers who currently use other service channels. Determine costs and increase customer satisfaction for those taxpayers who prefer digital services. The IRS is seeking feedback to conduct the Services Migration Survey (SMS), a survey using a Conjoint or taxpayer choice methodology to provide taxpayer preference information about individual service channel features. The data from the SMS will be used to create a Services Migration Interface (SMI), a choice model tool that will contain targeted information to inform continued development of the web-first strategy. Taken together, the SMS and the SMI in conjunction with other IRS data currently available will provide the IRS the ability to measure and compare potential service changes based on potential cost reduction, taxpayers interest, and taxpayer impact from web-first strategy inclusion. The Services Migration Survey (SMS) will use a taxpayer choice or Conjoint methodology to learn the qualities of preferred service channels, and what influences the decision to utilize alternative channels. In addition, demographic segmentation of survey results will illustrate how taxpayer behavior and strategies for increasing customer satisfaction can vary based on taxpayer characteristics. As a follow-up to the SMS, WISS proposes using data from the SMS to create a Services Migration Interface (SMI). This tool will allow the IRS to manipulate elements of the service experience to test combinations of service offerings, and ultimately build service offerings that best fit taxpayer preferences and increase customer satisfaction related to IRS services. Specifically, the SMI will predict taxpayers most likely to move between service channels, uptake of new or improved service channel options, and impact on taxpayers currently using those channels.

PII Details

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

Please specify the types of PII:

Name

E-mail Address

Employment Information

Tax Account Information

Are there other types of PII collected in the Survey?

Yes

Describe the other types of PII that are applicable to this Survey:

Age Range is asked - under/over 18 years of age, and the participant's home State.

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

Yes

PRIVACY ACT & SYSTEM OF RECORDS

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

Yes

Enter the SORN number(s) and the complete name of the SORN(s):

IRS 00.001 Correspondence Files and Correspondence Control Files

IRS 00.003 Taxpayer Advocate Service and Customer Feedback and Survey Records

IRS 22.062 Electronic Filing Records

IRS 24.030 Customer Account Data Engine Individual Master File

IRS 24.046 Customer Account Data Engine Business Master File

IRS 34.037 Audit Trail and Security Records

PRIVACY ACT NOTICE

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

Yes

Please provide the Privacy Act Statement:

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, Treasury/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 the questions will not affect you.

RESPONSIBLE PARTIES

OFFICIAL USE ONLY

Incoming PII Interfaces

Does the employee/taxpayer PII come from the IRS, Treasury, or other Government system(s), application(s) or data base(s)?

No

Does the data come from other sources?

No

PII SENT TO EXTERNAL ORGANIZATIONS

Are the Survey results disclosed to any other Federal or State Government? (For example, the Federal Viewpoint Survey/Questionnaire - OPM gets the results.)

No

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

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).

Organization Name: Contractor's database for third party participants in interviews

Transmission Method: EFTU

ISA/MOU: No

SURVEY PARTICIPATION

Who will the Survey be administered to?

Taxpayers

Explain how participants are selected. Include a detailed description of the method and reason of selection. If selection is random, please explain.

The Contractor will recruit a representative sample of individuals to serve as survey participants. Survey respondents will be selected from Ipsos (a global market research and consulting firm) panel members. Recruitment for this survey will only include existing panel members. Potential respondents will be sent a generic email invitation to participate in a survey. Participants will be provided a unique link/web address to enter the survey website and respond to survey questions. Respondents will enter the survey and answer preliminary questions asking if they are over 18 years of age and familiar with filing last year's federal taxes, and to ensure they are not currently employed by the IRS. If their responses indicate they are not eligible to participate in the survey (under 18 years of age, and/or did not file a return, or a current IRS employee), their survey will be terminated.

How are participants notified of the Survey?

Survey respondents will be selected from a subcontractor's panel members, and recruitment for this survey will only include existing panel members. Potential respondents will be sent a generic email invitation to participate in a survey.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

Potential participants will receive an invitation email which will contain the following statement to give notice that participation in the survey is optional: "Your participation in this survey is voluntary, and there are no penalties if you choose not to participate." In addition, the survey instrument and subsequent communications include similar language.

How will the Survey be conducted?

Web Based

Explain the procedure:

The survey will be administered electronically; however, there are no cookies involved. Survey participants will be provided a unique link/URL. Those that are eligible will proceed through the survey and respond to questions about their use of IRS services and their service needs and randomized conjoint scenario attributes and levels presented to them. The subcontractor hosting the panel, Ipsos, and the contractor hosting the survey, Pacific Consulting Group, will only share a unique survey ID that does not provide any identifying information from the panel or any survey information. This ID is used in place of name, address, or other personally identifiable information.

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Neither

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

Both

Provide the name of the contractor/vendor:

Pacific Consulting Group (PCG)

Has a Contracting Officer or Contracting Officer's Representative (COR) verified that all applicable FAR requirements are met to engage a contractor to perform the survey?

Yes

That all required "non-disclosure" clauses are contained in the contract.

Yes

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

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: Read-Only Moderate

Contractor Managers: Read-Only Moderate

INFORMATION PROTECTION

What information/results will be provided to the business owners (IRS Requestors) of the Survey?

Only aggregated responses will be provided to the business owners. No identifying information will be provided.

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

Yes

Can you confirm that no adverse actions can be taken against participants regarding the participant's answer?

Yes

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

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

Yes

What will be provided to the business owner, explain the business reason.

Though taxpayer identifiers are identified within the replies to determine who is and who isn't eligible to participate in the survey, only aggregated responses will be provided to the business owners.

RECORDS SCHEDULE

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

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.

All survey records for the Services Migration Survey will be deleted or destroyed in accordance with approved retention periods. Any records will be managed according to requirements under Internal Revenue Manual (IRM) 1.15.1 and 1.15.6 and will be destroyed using IRS General Records Schedule (GRS) 6.5, Item 010 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. Cyber-security and NIST 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 (10/01/2016-03/31/2020), whereas the participation of the contractor under the Customer Satisfaction Survey (CSS) Business Process and Assurance (BPA) has been terminated. 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 Internal Revenue Service Acquisition Procedures (IRSAP) clause 1052.224-9000(c)

DATA SECURITY

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?

Cyber-security and National Institute of Standards and Technology (NIST) 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. 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.

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

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.

All data will be transferred via EFTU.

When data is not sent electronically, provide in detail the information regarding the transfer back and forth from the IRS to contractors?

Data will be sent electronically only.

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 contractor uses regarding the physical and electronic security and protection of the data before, during, and after the survey.

Pacific Consulting Group (PCG) meets or exceeds the security and safeguarding requirements for handling Federal Taxpayer Information (FTI) and other sensitive data. PCG protects all FTI that is provided to us by the IRS, and as determined by the IRS, considers that this information continues to be FTI even if it has been stripped of individual identifiers (e.g., name, address, SSN/EIN). PCG has documentation and successful audit records demonstrating our compliance with data security and safeguarding, background clearance for personnel, physical and cybersecurity protections, security training, identity/authentication/access controls and data storage processes.

CIVIL LIBERTIES

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

Will this Survey have the capability to identify, locate, and monitor individuals or groups of people?

No