

Survey PCLIA ID Number: 4432
Date of Approval: November 09, 2020

SURVEY DESCRIPTION

Full name and acronym of the Survey.

Gig Economy Worker Focus Groups, SU-4432

Type of Survey:

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

Is this a new Survey?

Yes

Is this a reoccurring Survey?

No

Provide the dates collection of information will begin and end:

November 2020 - March 2021

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

Yes

Enter the SOI Control Number:

Not Available Yet

Does the Information Collection Request require OMB clearance?

Yes

What is the OMB Clearance number?

1545-1349

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 Gig Economy (also called the Shared/Sharing Economy) is an emerging issue with exponential and continued growth projected for the future. Workers currently have a decentralized communication network and the team would like to identify how these workers find tax information, as well as what the Internal Revenue Service (IRS) can do to assist them with finding information to meet their tax obligations. Small Business / Self Employed Research (SBR) will assist the team by organizing and coordinating focus group sessions with workers who will be identified and invited by the Fors Marsh Group (FMG), a market research firm/company. FMG will also secure virtual space/facilities for the focus group sessions, moderate the sessions, provide transcripts/notes from the sessions, and provide SBR with aggregated responses in a report. The FMG is one of those with a currently IRS approved Blanket Purchase Agreement (BPA). This project will gather focus group feedback from gig economy workers to help inform the Gig Economy Compliance Strategy and improve communication and outreach to workers in the gig economy.

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
Mailing address
Phone Numbers
E-mail Address
Financial Account Numbers
Biometric Identifiers
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:

First name only during the focus group sessions, length of time in gig economy work, full-time or part-time work, student, independent contractor, self-employed, business owner, employee, Employment information: Gig economy workers (people who provide on-demand

work, services, or goods through an app or website - ridesharing services, delivery services, crafts/handmade item marketplaces, on-demand labor and repair services, creative or professional services, other temporary, on-demand or freelance work, property and space rentals.), job positions, job status (work schedule), IRS returns filed, estimated tax payments, IRS notices, State where services are provided, Audio recording from focus groups.

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

No

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 10.004 Stakeholder Relationship Management and Subject Files

PRIVACY ACT NOTICE

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

No

Please add the Disclosure office agreement date:

10/3/2019

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?

Yes

Describe the source of the information:

SB/SE Research has contracted FMG to do the following: 1. Use existing database(s) and solicitation methods to identify and recruit gig economy workers 2. Organize and secure virtual facilities (Webex) for the sessions 3. Recruit sufficient participants (for 8-12 participants to provide feedback in each session, minimum of 6 participants per session) 4. Conduct (moderate) 4 - 6 focus group sessions 5. Document feedback obtained in the focus group sessions 6. Provide SB/SE Research with the participant feedback notes/transcripts

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: BPA
Transmission Method: No transmission
ISA/MOU: No

Organization Name: BPA FMG
Transmission Method: Security Data Transfer (SDT) program
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.

Focus group participants will be screened and selected from the contracted market research firm (FMG), who will recruit voluntarily participants from their database and use current solicitation methods. Study Population = Gig Economy Workers. Study Sample = Gig

Economy Workers who are in the contractor's database or respond to solicitation methods and voluntarily agree to participate in the focus groups when solicited. The Contractor shall recruit for 8 to 12 participants for each focus group, with a minimum of 6 participants per session (6 focus group sessions lasting one-hour each) - with the objective to retain 8 - 10 participants per session (48 - 60 total).

How are participants notified of the Survey?

The contracted market research firm (FMG) will follow best practices with identifying and recruiting the appropriate participants. E-mail, social media, and phone will confirm attendance.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

Focus group participants will be informed that participation is voluntary when signing up for the session and at the beginning of the session, during the introduction.

How will the Survey be conducted?

Web Based

Explain the procedure:

Online focus group conducted by the market research firm (FMG) via WebEx. The contractor (FMG) is currently part of an IRS approved BPA (Blanket Purchase Agreement).

Phone

Explain the procedure:

The online focus groups may incorporate a phone feature if audio and visual (FMG screen/document sharing) in the online tool/platform does not work correctly. The contractor (FMG) is currently part of an IRS approved BPA (Blanket Purchase Agreement). Participant consent will be obtained using the attached consent form which will be obtained in writing.

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Analysis

Provide the name of the IRS office:

SB/SE Research

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

Both

Provide the name of the contractor/vendor:

Fors Marsh Group

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

Contractor Developers: Read-Only Moderate

Contractor Sys. Admin.: Read-Only Moderate

INFORMATION PROTECTION

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

Research will only provide aggregated results of the focus group to the Gig Economy Compliance Strategy Team. The deliverable will be in a Microsoft PowerPoint and/or Word format. No identifying information will be provided. No adverse actions can be taken against the participants.

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?

N/A

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

No

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.

SB/SE Research will be conducting focus groups. The information SB/SE Research obtains from the participants will be used only for this research project. All records for the survey will be deleted or destroyed in accordance with approved retention periods. Any records will be managed according to requirements under 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. SB/SE has proposed a three-year retention for the records. SB/SE will follow IRM 1.7 (Research and Analysis for Tax Administration) and applicable federal guidelines, including the Federal Information Security Management Act of 2002 (FISMA). The information will be stored on a SB/SE Research server located in a secured area and only those researchers participating in the project with a need-to-know will have access to the information. The names of the individuals who participated in the focus groups are covered by Treasury/IRS SORN 10.004 - Stakeholder Relationship Management and Subject Files. Reference to other data security guidance/policy is as follows: National Institute of Standards and Technology (NIST) 800-53, Recommended Security Controls for Federal Information Systems & Organizations (Media Protection, Media Storage, System and Information Integrity) NIST Special Publication 800-88 Customer Satisfaction Survey (CSS) Blanket Purchase Agreement (BPA) contract Section Secure Data Transfer (SDT) Requirement CSS BPA contract IRSAP clause 1052.224-9000(c). Any records generated and maintained in association with the survey will be managed according to requirements under IRM 1.15.1 and 1.15.6, and will be destroyed using IRS Records Control Schedule (RCS) 23, Item 15 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer.

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?

No PII data will be transferred from IRS to the contractor (FMG). Once the contractor provides data to the IRS, the data will be stored in a secured area on an IRS file server. Only SB/SE Research employees assigned to the project with a need-to-know will have access to the data which will be maintained in a restricted access folder.

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.

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 SecureZip data transfer method. Although EFTU and SecureZip 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.

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

Data is only sent electronically, as stated above.

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.

Secure Data Transfer (SDT) Requirements TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030, Section IV, Paragraph G (entitled "Secure Data Transfer (SDT) Requirements") is incorporated in its entirety. The contractor specifically acknowledges the Secure Data Transfer requirements of this section. SECURITY FOR DATA TRANSMISSION BETWEEN GOVERNMENT PRINTING OFFICE (GPO) AND BPA CONTRACTORS: TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030, Section IV, Paragraph H (entitled "SECURITY FOR DATA TRANSMISSION BETWEEN GOVERNMENT PRINTING OFFICE (GPO) AND BPA CONTRACTORS ") is incorporated in its entirety. The contractor specifically acknowledges the SECURITY FOR DATA TRANSMISSION BETWEEN GOVERNMENT PRINTING OFFICE (GPO) AND BPA CONTRACTORS requirements of this section.

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