

Survey PCLIA ID Number: 4443
Date of Approval: January 16, 2020

SURVEY DESCRIPTION

Full name and acronym of the Survey.

Chatbot Prototype Moderated Usability Research, SU-4443

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?

No

Provide the dates collection of information will begin and end:

January 2, 2020 - February 28, 2020

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

No

Does the Information Collection Request require OMB clearance?

No

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 Chatbot Prototype Moderated Usability Research is an exploratory study with 12 participants that will include a questionnaire, a usability study of the Chatbot Prototype Application (PCLIA # 4313) and semi-structured interviews. The target audience is the common taxpayer, including varying age, degree of technology proficiency, and knowledge of the IRS. The Chatbot Usability study aims to better understand if taxpayers would be receptive to the introduction of a chatbot to assist in common helpdesk scenarios and how this information would be most effectively displayed to the user.

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

Phone Numbers

E-mail Address

Biometric Identifiers

Are there other types of PII collected in the Survey?

Yes

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

Gender; Age Range

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

IRS 00.001 Correspondence Files and Correspondence Control 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?

Yes

Please provide the Privacy Act Statement:

From the facilitator's verbal script: "Your participation is entirely voluntary, and you are free to end our session at any time. You will receive compensation for your participation. This interview will take approximately 1 hour. We would like to record this interview. The recording is for research purposes only and your name will not be associated directly with the content in the recording. Recordings will be kept in a secure location and shared only with persons with a valid need to know. Instead, the content of all interviews will be aggregated to identify key issues, which would be non-attributional. Your name and contact details are stored in an encrypted file that is only available to the MITRE research team, which will be destroyed on completion of this study. Your name will not be linked to anything you say in any reporting within MITRE or to the IRS. There are no expected risks of participation. MITRE will take appropriate precautions to protect your privacy, as explained in our Privacy Act Statement and Privacy and Civil Liberty Impact Assessment. Do you have any questions about this research? Do you agree to participate? Do you consent to the use of the recording by MITRE?" From the questionnaire: "Privacy Act Statement: The authority requesting the information is 5 USC 301. The primary purpose of asking for the information is to determine steps the IRS can take to improve our services to you. The information may be disclosed as authorized by the routine uses published for the following Privacy Act System of Records: (1) IRS 00.001 Correspondence Files and Correspondence Control Files and (2) IRS 10.004 Stakeholder Relationship Management and Subject Files. Providing the information is voluntary. Not answering some or all of 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?

Yes

Describe the source of the information:

Participants will be recruited through a recruitment company. Ideal participants will represent the general taxpaying population. The recruitment company will recruit a determined number of study participants that match the study criteria and provide basic demographics and first name only to the MITRE research team. Participants will be compensated. Note that the subcontract process has not been started.

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?

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.

Those who are interested in participating will be asked to complete a recruiting questionnaire (PDF) and return it via email. The recruiting questionnaire is included in Appendix C of the attached file titled, IRS.gov Chatbot Usability Research - Chatbot Usability Test Protocol.

How are participants notified of the Survey?

Participants are solicited via an ad from the recruiting subcontractor for the usability study. The recruiting subcontractor will schedule participants who meet study requirements for a remote 1-hour online meeting over Skype on a Monday through Friday between 8AM and 6PM EST. Participants will be sent a calendar invitation and an email reminder one day before their session by the Recruitment Subcontractor (Fieldwork).

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

The consent notice introduction includes the following text: We invite you to take part in a research study at The MITRE Corporation (MITRE). We want you to know that taking part in MITRE research is entirely voluntary. You may choose not to take part, or you may withdraw from the study at any time. In either case, you will not lose any benefits to which you are otherwise entitled nor will you otherwise be penalized. Before you decide to take part, please take as much time as you need to ask any questions and discuss this study with anyone at MITRE, or with family, friends or any of your advisers.

How will the Survey be conducted?

Web Based

Explain the procedure:

No cookies will be used. Over Skype, the participants will answer questions about their experience with chatbot technology, about their experience with the IRS and IRS.gov, and be asked to provide feedback on the Chatbot Prototype Application.

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:

The MITRE Corporation

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.: Administrator Moderate

INFORMATION PROTECTION

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

A report will detail the aggregated characteristics of the participant sample, their technology proficiency, and their familiarity with chatbot technology. This report will be provided to a manager from the IRS Office of Online Services (OLS) Online Engagement Operations and Media (OEOM). It will describe the themes identified for each research question along with supporting quotes. The themes will be used to summarize initial insights into how users might respond to the introduction of chatbot technology on IRS.gov and any potential usability and accessibility concerns to address in design. These themes will be used to develop design and future research recommendations.

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?

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.

The Survey " Chatbot Prototype Moderated Usability Research " will be managed using GRS 6.5, Item 010 Public Service Operations Records. Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. Any additional records developed from the "Secure Access Usability Study" maintained by the IRS will be scheduled 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?

All data concerning the study, including the recruiting screener, interview notes and audio recordings, will be de-identified, aggregated, and stored in an encrypted directory within MITRE. The aggregated and de-identified data will include basic demographics (gender, age, professional role), reported experience with technology, and interview data. Participant names and contact information will be destroyed within 30 days of the completion of the study. Collected data will be identified only by a participant ID code in any research reporting within or external to MITRE. Participant ID codes will never be linked with the participants identities.

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.

Encrypted email with password-protected attachments will be used to share the data, which is aggregated and de-identified.

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

N/A

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.

All data concerning the study, including the recruiting screener, interview notes and audio recordings, will be de-identified and stored in an encrypted directory within MITRE. The de-identified data will include basic demographics (gender, age, professional role), reported experience with technology, and interview data. Participant names and contact information will be destroyed within 30 days of the completion of the study. Upon destruction of the data, MITRE will email both the PCLIA Reviewer and MITRE's research point of contact from the IRS Office of Online Services. Collected data will be identified only by a participant ID code in any research reporting within or external to MITRE. Participant ID codes will never be linked with the participants identities. The following describes a detailed procedure for all data containing personally identifying information: Recruiting Screener Data: a) Recruiting Screener data will be stored in an encrypted file. Access will be limited to the MITRE research team only; b) The recruiting screener data will be combined with any survey data and de-identified by the MITRE research team. c) The original Recruiting Screener data file with contact information will be destroyed within 30 days of the study. Participant Scheduling Spreadsheet: a) All communications on participant scheduling, which may include participant name, email, and employment, will be shared using an encrypted file by the MITRE research team. Access will be limited to the MITRE research team only; b) The participant scheduling spreadsheet will be de-identified by the MITRE research team and stored for archival purposes. Audio recordings: a) Audio recordings will be de-identified and stored in an encrypted directory within MITRE; b) Access to de-identified audio recordings will be limited to the MITRE research team only; c) Audio recordings will not be used in any reporting on research results; d) De-identified, selected quotes and observations gleaned from recordings may be shared in reporting on the research. Informed Consent: a) An informed consent script will be read aloud to each participant by the moderator; b) Participants will be asked to provide verbal consent on an audio recording and the audio recordings will be de-identified and stored in an encrypted directory within MITRE.

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