

Survey PCLIA ID Number: 4681  
Date of Approval: April 22, 2020

## **SURVEY DESCRIPTION**

*Full name and acronym of the Survey.*

Customer Experience, Expectations & Needs - Cognit, SU-4681

*Type of Survey:*

Telephone Interview

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.*

April 1, 2020 through December 31, 2021

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

Yes

*Enter the SOI Control Number:*

SOI-532

*Does the Information Collection Request require OMB clearance?*

Yes

*What is the OMB Clearance number?*

1545-1349 - Cognitive & Psychological Research - Focus Groups/Cognitive Interviews

## 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 Small Business/Self Employed (SB/SE) organization conducts a variety of customer satisfaction surveys to obtain satisfaction ratings and taxpayer feedback on various aspects of the taxpayer's experience; all the current SB/SE surveys occur after an interaction with the IRS such as closure of an exam or collection action. This survey, the Customer Experience, Expectations, & Needs Survey (CEEN), goes beyond the existing surveys by including SB/SE taxpayers who may or may not have had previous contact with the IRS. By measuring the tax experience of all SB/SE taxpayers, the survey will capture a large segment of the population that existing surveys miss. Completing this survey is an industry best practice and is important for understanding customer experience, expectations and needs when looking to make operational improvements. Additional research on the subject indicates improved customer experience can lead to improved compliance. The results of this survey will be used to identify ways to improve the SB/SE customer experience and increase voluntary compliance. The cognitive interviews will be used to conduct cognitive tests of the survey to ensure the survey language is as effective as possible.

## 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  
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:*

Language spoken, self-employment, business ownership type and length, job category, employee/independent contractors employed, tax forms filed, filing habits, filing status, tax liability, IRS correspondence received, taxable income, power of attorney, estimated taxes, payment plan.

*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 00.001 Correspondence Files and Correspondence Control Files

IRS 00.003 Taxpayer Advocate Service and Customer Feedback and Survey 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, 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 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:*

The contractor utilizes a subcontractor National Opinion Research Center (NORC) at the University of Chicago who has a panel of people interested in participating in cognitive interviews on a wide variety of subject matter. The PII comes from this panel in which people voluntarily provide their information to the contractor when participating cognitive reviews. Since its founding, NORC at the University of Chicago has conducted numerous social research projects involving opinion survey, panel survey, marketing research, and other data collection, for government agencies, nonprofit agencies, and corporations. No PII comes from the IRS.

## **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.*

NORC invites panel members who are likely to fit the SBSE population to answer the screener questions. The first 20 people who opt -in, fit the screener requirements and are available for interviews at an open time slot will be interviewed.

*How are participants notified of the Survey?*

Participants for the cognitive testing are notified by email invitation.

*Is the Survey voluntary?*

Yes

*How is notice given that the Survey is optional?*

Participants are advised during the cognitive interview their participation is voluntary.

*How will the Survey be conducted?*

Web Based

*Explain the procedure:*

The contractor contacts participants by phone and conducts a screen share of the contractor's computer through a website link sent to the participant hosted by <https://www.join.me/>. The interviewer and the participant then go through the cognitive testing together and the contractor answers the questions based on the participant's responses. Cookies are not used. Consent is obtained verbally during the call.

Phone

*Explain the procedure:*

The contractor will contact respondents by phone, as described above, if no internet is available the contractor will complete a paper survey based on the participants responses. Consent is obtained verbally.

## **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:*

ICF INCORPORATED, L.L.C.

*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?*

The Contractor shall prepare a Cognitive Interview/Focus Group Report within 10 working days of completion of the cognitive interviews/focus groups. The report shall include but is not limited to a summary of the highlights of the cognitive interviews/focus groups. No PII is shared with the IRS.

*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.*

The contractor retains PII for 5 years unless otherwise specified by the IRS. Computer files containing highly confidential data are destroyed when no longer needed. Server discs containing such data are over-written using DOD-rated software or degaussed before being released for other uses. Workstations are not used to permanently store any FTI-sensitive data with unique identifiers. 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. GRS may be superseded by IRS specific RCS in the future. Records are temporary and will be destroyed 1 year after survey, 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 (9/26/19-12/31/2021).

## 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 is housed on IRS computers.

*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 described 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.*

PII is retained for 5 years unless otherwise specified, as stated above. Subcontractors of the contractor are held to the same provisions, investigative requirements, and standards of conduct for handling and protecting SBU information as employees of the prime contractor. Sensitive IRS data resides on a secure server, and the contractor uses the appropriate encryption to secure the data. The encryption method used will be disk, directory, or file level. Workstations that access and require working with sensitive data located on the secure server use the appropriate encryption method. The contractor utilizes a secure server to house IRS projects, and it is protected inside of a ICF's Login Protected Network. That can only be accessed by the contractor authorized personnel.

## **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