

Survey PCLIA ID Number: 5195
Date of Approval: November 05, 2020

SURVEY DESCRIPTION

NOTE: All questions will refer to 'Survey' but also apply to a telephone interview or focus group.

Full name and acronym of the Survey.

Field Compliance Safety Focus Groups, SU-5195

What type of information collection will be used?

Focus Group

Is this a new Survey?

Yes

Which Business Unit (BU) is requesting the Survey?

Small Business Service

Who will the Survey be administered to?

External Survey (Taxpayers or Others)

Is your Survey a Customer Satisfaction or Taxpayer Experience Survey?

Yes

Does the information collection request require OMB Clearance?

Yes

Does this Survey have a Statistics of Income (SOI) number?

Yes

Is this a reoccurring Survey?

No

Provide the date the Survey will begin and end. (1-year expiration date)

Beginning quarter:

1 – October-December

2 – January-March

GENERAL BUSINESS PURPOSE

What is the general business purpose of this Survey? Provide the reason for the Survey and the benefits to the IRS mission.

IRS Small Business/Self-Employed (SB/SE) Field Compliance contacted SB/SE Research to gather feedback from taxpayers on the public's expectation of IRS compliance employees when making contact in the field at their residence, place of business, or Power of Attorney's (POA) office. The results of the study will further IRS understanding of how to keep their employees safe in this age of impersonators. Tax scams are a growing concern for taxpayers and IRS employees alike. When scammers impersonate IRS employees it undermines the public confidence and makes it more difficult for IRS employees to do their jobs. This is a particularly prevalent issue for Field Collection and Field Examination employees, who often visit taxpayers unannounced. Taxpayers may not immediately recognize the Revenue Officer or Revenue Agent as an employee of the IRS and may be skeptical to work with them until their identity can be verified. Conduct focus groups to determine the public's expectation of what an IRS Compliance employee should look like when making contact in the field. This information will further IRS understanding of how to keep employees safe in the age of impersonators. The market segment in this research will consist of IRS Field Collection Revenue Officers and Field Exam Revenue Agents. The focus groups will be conducted in a virtual setting (conference call). The focus group sessions will be held with taxpayers with recently closed compliance cases and will provide valuable information that is not available in any internal IRS data source. A total of five virtual (conference line) focus groups will be conducted with 8 - 10 participants per session.

PII DETAILS

Does the Survey use, collect, receive, display, store, maintain, or disseminate PII, or is PII (names, addresses, email addresses, etc.) used to select participants?

Yes

Please specify the types of PII:

Name

Mailing address

Phone Numbers

E-mail Address

Employment Information

Are there other types of PII collected in the Survey?

No

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

No

Does the Survey use, collect, receive, display, store, maintain or disseminate linkable data (gender, ethnicity, parts of address, tax filing information, etc.) or use linkable data to select participants?

No

PRIVACY ACT & SYSTEM OF RECORDS NOTICE

Does your survey concern any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.

Yes

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

IRS 10.004 Stakeholder Relationship Management and Subject Files

The Privacy Act of 1974 (5 USC §552a(e)(3)) requires each agency that maintains a system of records, to inform each individual requested to supply information about himself or herself. Do Survey participants provide information about themselves?

No

Privacy analyst agreement date.

7/28/2020

INCOMING PII INTERFACES

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

Yes

List the source that the PII is extracted or derived from, how the data is transmitted, and if there is an Interconnection Security Agreement (ISA) or Memo of Understanding (MOU).

Name: IRS secured database, Audit Information Management System (AIMS), Integrated Collection System (ICS)
Transmission Method: Electronic
ISA/MOU: No

Does the employee/taxpayer PII come from external resources (contractor, subcontractor, etc.)?

Yes

Identify the external resource(s) the PII data is extracted/derived from, how the data is transmitted, and is there a reciprocal agreement.

Name: Customer Satisfaction Survey responses (Contract Number TIRNO-15-Z-00028,0006)
Transmission Method: Electronic
ISA/MOU: No

Name: Field Collection Customer Satisfaction Survey, SU-4010
Transmission Method: Electronic
ISA/MOU: 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 - the results are sent to OPM.)

No

Are the Survey results disclosed to any other sources? (Contractor, Sub-contractor etc.)

Yes

Identify who the information is disclosed to, how the data is transmitted, and if there is a reciprocal agreement.

Organization Name: Fors Marsh Group
Transmission Method: Electronic
ISA/MOU: No

SURVEY PARTICIPATION

Explain how the participants are selected. Include a detailed description. (If the selection is random, explain the process.)

The Contractor, FMG, shall recruit eight to ten participants for five focus group sessions from an IRS provided list of taxpayers who have recently had face-to-face contact with IRS Compliance employees. The list is from the Compliance Customer Satisfaction Surveys (Contract Number TIRNO-15-Z-00028,0006, PCLIA SU-4010) FMG will recruit participants to ensure they can provide feedback about their experience with the IRS compliance employee. All focus groups will be conducted virtually (conference call).

How are participants notified (letter, postcard, email etc.) of the Survey?

FMG will notify participants by email or phone call.

Is the Survey voluntary/optional?

Yes

How is notice given that the Survey is voluntary/optional?

If notification is by email, it will be included in the text. If by phone, it will be mentioned as part of the prepared script.

SURVEY PROCESS

How will the Survey be conducted?

Phone

Explain the procedure. (Random Digit Dialing, Calling List)

Focus Groups will be conducted using a conference line. FMG will send participants instructions for accessing conference line before the focus group sessions are held.

Will the Survey be audio-taped?

Yes

Provide the consent method and statement.

You are being asked to participate in a focus group regarding your expectations of an IRS compliance employee when they make contact in the field at your residence, place of business, or accountant's office. This information sheet describes the purpose, procedures, benefits, risks and precautions of the focus group. It also describes your right to withdraw from the group at any time. A member of the Fors Marsh Group team is available to read through this information sheet with you and discuss all the information, if you wish. The full consent form is attached.

Will the Survey be video-taped?

No

DATA SECURITY

Does the IRS administer or perform analysis of the survey?

Analysis

Provide the name of the IRS office performing analysis of the survey.

SB/SE Research

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

Yes

Provide the name of the Contractor/Vendor:

Fors Marsh Group (FMG)

Is the contractor in the continental United States (US)?

Yes

Is all work performed and retained within the continental US?

Yes

Provide the Cyber security approved security and encryption used when data is transferred electronically from the 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.

Is data sent electronically?

Yes

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? Provide detailed information 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. 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 an ICF's Login Protected Network that can only be accessed by the contractor authorized personnel.

Has a Contracting Officer or a Contracting Officer's Representative (COR) verified that contracts include all applicable clauses for data protection, and that all contractor employees who will have access to the data, have signed non-disclosure agreements and that the non-disclosure forms are on file with the COR.

Yes

The following people have access to the employee/taxpayer PII

Contractor Users: Read and Write Moderate

Contractor Managers: Read-Only Moderate

Contractor System Administrator: Administrator Moderate

SURVEY INFORMATION

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

At the completion of focus group(s), the responses will be released in a report as summary observations and categorized by the topic of discussion in the moderator's guide. The report will not contain any individually identifying information such as name, address, or taxpayer identification number. The moderator ensures that the taxpayers participating in the focus group are guaranteed anonymity. SB/SE Research will provide only aggregated results of the focus group to our customers in SB/SE Field Collection and Field Examination. The deliverable will be in a Microsoft PowerPoint or Word format. No identifying information will be provided. No adverse actions can be taken against the participants.

Are the results aggregated?

Yes

What is the minimum sample size?

A minimum of 25 participant responses will be aggregated.

Explain the precautions taken, to ensure the survey results will not be used for any other purpose, not listed in question 7, General Business Purpose.

Results will be shared directly with and only to the customer, SB/SE Field Collection and Field Examination.

Does the administrator of the Survey have access to information identifying participants?

Yes

Explain the precautions taken, to ensure that employees or taxpayers who participate in the survey cannot be identified or re-identified under any circumstances?

Only SB/SE Research and FMG employees assigned to the project will have access to the data maintained in a restricted access folder on a secure server.

Explain the precautions taken to ensure no adverse actions can be taken against participants?

The results will be aggregated, and no identifying information will be included in the deliverable to SB/SE Field Collection and Field Examination.

For Employee or Taxpayer Satisfaction Surveys, explain how you have ensured that no “raw” or unaggregated employee or taxpayer data will be provided to any IRS office?

The results will be aggregated, and no identifying information will be included in the deliverable to SB/SE Field Collection and Field Examination.

RECORDS SCHEDULE

Are the Survey records covered under a General Records Schedule (GRS, IRS Document 12829) or has the National Archives and Records Administration (NARA) approved a Records Control Schedule (RCS, IRS Document 12990) for the retention and destruction of this Survey and supporting documentation?

Yes

How long are the records required to be held under the corresponding GRS or RCS and how are they disposed of? Explain how long any data will be retained by the contractor if they are conducting the Survey on behalf of the IRS. In your response, provide the GRS or RCS chapter number, the specific item number, and records series title.

All records for the focus group 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) 5.2, Item 020, Intermediary Records as published in IRS Document 12829 and coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. GRS 5.8, Item 010-Technical and administrative help desk operational records. PII will be destroyed upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. In this case the focus group employee names and responses are the final document or file. GRS 6.5 010-Public customer service operations records - Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. 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 an 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, freedom 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

RESPONSIBLE PARTIES

OFFICIAL USE ONLY