

Survey PCLIA ID Number: 5442
Date of Approval: March 01, 2021

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.

Usability Testing-Mediabarn: FY2021-2023, SU-5442

What type of information collection will be used?

Survey

Is this a new Survey?

No

Is there a Privacy Civil Liberties Impact Assessment (PCLIA) for this Survey?

Yes

Enter the full name, PCLIA Number and acronym (if applicable) for the most recent Survey PCLIA:

Usability Testing-Mediabarn : 2020-2022, SU-4542

Enter the approval date of the most recent Survey PCLIA?

2/28/2020

Indicate which of the following changes occurred to require this update.

Addition of Personally Identifiable Information (PII)

Were there other changes not listed above?

No

Which Business Unit (BU) is requesting the Survey?

Deputy Comm. Services & Enforcement

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?

No

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

No

Is this a reoccurring Survey?

Yes

Indicate Frequency:

Annually (3-year expiration date)

Expected start date:

11/15/2020

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.

Usability testing is research conducted to evaluate the ease of use of a product or website. There are several variations/techniques of usability testing including, but not limited to: 1) "moderated" which involves the active participation of a moderator which can be conducted remotely or in-person; 2) "unmoderated" which is self-administered in the participant's own environment (remotely); and 3) "split" (or A/B) which is used to determine which specific design option is more effective than another at encouraging desirable user behavior by randomly assigning visitors to one version and tracking differences in timing, by comparing activity over an identical timeframe for all versions. The product or website being tested can range anywhere from an early design concept to the version currently in production. Usability testing can provide both quantitative and qualitative data depending on how the research is structured. Common examples of quantitative data include average time to complete a task, navigation choices, message comprehension, usefulness rating and preference for one design over another. Examples of qualitative data include emotions,

attitudes and the past experiences upon which participants base their approach and reactions to the product. The IRS Office of Online Services uses the insights of this testing to improve the customer experience, service and satisfaction in order to meet taxpayer goals more effectively.

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
Phone Numbers
E-mail Address
Internet Protocol Address (IP Address)
Photographic Identifiers
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:

Age range, gender, household size, household income range, marital status, US residency, ethnicity, education, language(s) proficiency, disability status/impairment type (assistive technologies used, need for ASL interpreter), employment status/type (PT/FT/Unemployed; federal/state/local govt, employment in tax services industry, self-employed, small business, military, non-profit, etc.), tax account information (filing status - S/MFJ/MFS/HH, number of dependents, withholding status - employer/estimated payments/pay at filing, filing habits - electronic/paper/self/pro, balance due - refund or pay, types of IRS forms filed - 1040/940/1065, types of letters/notices received - CP2000, etc.), possession of government-issued photo identification, knowledge/possession of SSN/ITIN/IP PIN (knowledge/possession only - a SSN/ITIN/IP PIN will never be requested), use of bank or other types of financial institutions/services, technology proficiency/comfort/access (internet use, device use, device type, email account, familiarity with web conferencing software, etc.), types of IRS interactions/services/touchpoints. Voice/audio recording (for post-collection analysis only). For tax professionals: PTIN (knowledge/possession only), role - CPA/EA, type of client/taxpayer - individual/specialty/business.

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

Yes

Describe the PII that is collected.

Name, email address, phone number are collected by Mediabarn Market Research Division but never shared with the IRS.

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?

Yes

List the linkable data applicable to this Survey.

see 8.1.a. above

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 00.001 Correspondence Files and Correspondence Control Files

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?

Yes

Provide the Privacy Act Statement.

The authority requesting this 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 in 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.

Privacy analyst agreement date.

9/18/2020

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 advisory committees (IRSAC/IRPAC/ETAAC/Security Summit, etc.)
Transmission Method: encrypted IRS email
ISA/MOU: No

Name: Email listservs from pilot programs/soft launches/beta testing
Transmission Method: encrypted IRS email
ISA/MOU: No

Name: Collection Data Warehouse (CDW)
Transmission Method: secure IRS server
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: Mediabarn (contractor) Market Research Division database
Transmission Method: not transmitted to IRS
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.)

No

SURVEY PARTICIPATION

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

Participants are selected from a database (owned and maintained by Mediabarn) of voluntary respondents who have opted in for a variety of market research studies. Mediabarn has not subcontracted and does not expect to subcontract recruiting for IRS studies. Selection for IRS studies is based on self-reported familiarity with the tax-related topic(s) relevant to a given study, as well as availability. For example, if an upcoming study is focused on online estimated tax payments, Mediabarn will look for participants who have experience paying estimated taxes.

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

Mediabarn contacts the potential participants as identified in the database by phone to verify their eligibility and availability. The phone number used to contact these voluntary respondents was self-reported when they opted-in to participate in Mediabarn market research studies.

Is the Survey voluntary/optional?

Yes

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

The outreach messaging states that participation is open only to those individuals who meet the study qualifications and are interested in participating. In addition, participants are told that their participation is voluntary, and that they may exit the survey at any time and for any reason without any kind of penalty.

SURVEY PROCESS

How will the Survey be conducted?

Electronic

What survey application or tool is used to create the survey?

Web Based (Contractor or Third-party website)

Provide the website name/address.

Unmoderated (remote) testing is conducted using IT-approved applications like Optimal Workshop or Loop11. Participants are notified via email that the user test is available, and they participate voluntarily and at their convenience. The testing script may include tasks for them to complete and/or follow-up questions about their experiences using the product or website. Native screen-capture functionality is used to record the sessions so that researchers may conduct the analysis after the participant completes their input. At the start of an online survey, participants provide consent to participate and have their sessions recorded.

Are cookies used to prevent a participant from taking the Survey multiple times?

Yes

Do participants who have not taken the Survey receive a second notification?

Yes

Phone

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

At the scheduled date and time, the Mediabarn moderator will speak with the respondent over a conference line. The respondent will use his/her own equipment to view and test the product. To supplement notes taken during the session, the session will be recorded using Mediabarn's locally run software. The moderator will inform each participant that the session will be recorded and will ask the participant for consent before proceeding.

Other

Please explain.

Mediabarn In-lab testing. At the scheduled time, the respondent will meet with the Mediabarn moderator to test a locally run prototype on Mediabarn's lab-owned equipment. To supplement notes taken during the session, the screen and audio will be recorded using locally run software, For these in-person sessions, observers who are also on-site will be able

to watch and listen to a live feed in real time from another room on a TV screen. Observers who are not on site will also be able to watch and listen in real time via WebEx. Participants are informed of and consent to being observed. At no time will the observers interact with the participants. While observers will be able to see participants on a screen, only aggregated and de-identified PII will be shared. Information about a specific participant will never be attributed to specific responses or insights. Observers will be stakeholders from both Treasury/IRS and Mediabarn. Treasury/IRS observers are employees or their representatives who are either assisting with the administration of the user research activity or have a vested business interest in the insights from the user research activity. Mediabarn (vendor) observers are employees who work on administering the user research activity to include the moderator, project lead, notetaker, designers, and content creators/developers. There will be up to 10 observers each from Treasury/IRS and vendor (Mediabarn). The moderator and designated notetaker will take the notes that will be used for report synthesis. For in-person sessions only, observers are provided a scoresheet to track participant behavior/responses to tasks/questions. At the end of the session, the scoresheets are collected by the vendor (Mediabarn), not incorporated into analysis of the study, and promptly destroyed - as they are merely used as a technique to keep observers focused and quiet during the sessions. Observation by stakeholders provides a number of benefits, including, but not limited to, creating an empathic connection to the taxpayers as they attempt to use a product or a website to achieve their goals, allowing stakeholders to experience the participant's emotional and mental burden for themselves, and fostering collaboration and insights in order to improve the taxpayer's experience.

Will the Survey be audio-taped?

Yes

Provide the consent method and statement.

In-person sessions: participants sign a written consent form containing the statement below. Moderated remote sessions: moderator reads the statement below and requests verbal consent. Unmoderated remote sessions: the statement below is displayed, and participant must consent via the tool being used. "You understand that participation in this study is voluntary and you agree to immediately raise any concerns or areas of discomfort during the session with the study administrator. [You will receive a gift card in the amount of \$X/You will receive compensation in the amount of \$X/You will not be compensated] for your participation. This interview will take approximately [time estimate]. You understand and consent to the use of the audio, video, and/or digital recording by Mediabarn on behalf of the IRS for analysis purposes only. You further understand and consent that there may be observers who will be able to watch and listen to this session in real-time (online or in-person). There are no expected risks of participation. Mediabarn will take appropriate precautions to protect your privacy, as explained in our Privacy Act Statement and Privacy and Civil Liberty Impact Assessment."

Will the Survey be video-taped?

Yes

Provide the consent method and statement.

In-person sessions: participants sign a written consent form containing the statement below. Moderated remote sessions: moderator reads the statement below and requests verbal consent. Unmoderated remote sessions: the statement below is displayed, and participant must consent via the tool being used. "You understand that participation in this study is voluntary and you agree to immediately raise any concerns or areas of discomfort during the session with the study administrator. [You will receive a gift card in the amount of \$X/You will receive compensation in the amount of \$X/You will not be compensated] for your participation. This interview will take approximately [time estimate]. You understand and consent to the use of the audio, video, and/or digital recording by Mediabarn on behalf of the IRS for analysis purposes only. You further understand and consent that there may be observers who will be able to watch and listen to this session in real-time (online or in-person). There are no expected risks of participation. Mediabarn will take appropriate precautions to protect your privacy, as explained in our Privacy Act Statement and Privacy and Civil Liberty Impact Assessment."

DATA SECURITY

Does the IRS administer or perform analysis of the survey?

Neither

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

Yes

Provide the name of the Contractor/Vendor:

Mediabarn

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.

PII is not provided to the IRS. All participant information provided to the IRS is aggregated and de-identified. Mediabarn utilizes encrypted email on IRS laptops to share deliverables.

Is data sent electronically?

Yes

Provide, in detail the information regarding the transfer back and forth from the IRS to contractors.

Through encrypted email over IRS network.

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.

The procedure for handling research study data that contains personally identifiable information is described as follows: 1) Recruitment Screener: a) Recruiting screener data will be de-identified (meaning the removal of participant names and contact information, as well as any other personally identifiable information contained in screener responses) and stored for archival purposes in an encrypted file within Mediabarn, Inc. b) Access to these files will be limited only to certain Mediabarn market research division staff. 2) Participant Scheduling: a) Participant scheduling spreadsheets (often referred to as "grids") are managed by Mediabarn's market research division. b) The origin file will be de-identified and stored for archival purposes in an encrypted file within Mediabarn, Inc. c) Access to these files will be limited only to certain Mediabarn market research division staff. d) Any working copies will be destroyed within 60-90 days after a study is completed. 3) Audio/video Recordings: a) Audio/video recordings of study participants will be deleted within 60 days after a study is completed. b) Audio/video recordings will not be used in any research reporting. c) Select participant quotes and observations gleaned from audio/video recordings may be shared in research reporting provided they have been de-identified. 4) Informed Consent a) An informed consent script will be read aloud to each participant by the moderator of the study. b) Participants will be asked to provide verbal consent on an audio/video recording.

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-Only Moderate

Contractor System Administrator: Administrator High

SURVEY INFORMATION

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

The deliverable will be a report that highlights aggregated and de-identified user findings, insights, and recommendations to improve user interactions with the IRS.

Are the results aggregated?

Yes

What is the minimum sample size?

N/A

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.

The usability study is designed to focus solely on user perceptions and usability issues. Aggregated and de-identified demographic data collected will only be reported on as a means to describe the group of individuals who participated in the research and cannot be directly tied to any feedback provided in the usability study.

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?

PII is not provided to the IRS. All participant information provided to the IRS is aggregated and de-identified. Mediabarn's market research division maintains a list of who participated in each study. Since only the market research division of Mediabarn, Inc. will have access to raw PII (stored in an encrypted file within Mediabarn, Inc.), and IRS stakeholders will only receive an aggregated report of study findings.

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

PII is not provided to the IRS. All participant information provided to the IRS is aggregated and de-identified.

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?

PII is not provided to the IRS. All participant information provided to the IRS is aggregated and de-identified. No "raw" or unaggregated taxpayer data from the recruiting screener or survey will be provided to any IRS office.

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.

The survey 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 study maintained by the IRS will be scheduled as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. IRM 1.15.1, Records and Information Management, The Records and Information Management Program.

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