

Survey PCLIA ID Number: 5502  
Date of Approval: September 24, 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.*

TFA 1099 UT Fall 2020, SU-5502

*What type of information collection will be used?*

Survey

*Is this a new Survey?*

Yes

*Which Business Unit (BU) is requesting the Survey?*

Deputy Commissioner Services & Enforcement

*Who will the Survey be administered to?*

External Survey (Taxpayers or Others)

*Is your Survey a Customer Satisfaction or Taxpayer Experience Survey?*

No

*Is this a reoccurring Survey?*

No

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

*Beginning quarter:*

4 – July-September

*Ending quarter:*

1 – October-December

## 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.*

The User Experience and Design (UXD) team is engaging with Small Business/Self Employed (SB/SE) in their cross-BOD effort to respond to Sec. 2102. Internet Platform for Form 1099 Filings under the Taxpayer First Act. The intent is to bring the customer-centric systems perspective to fulfilling the congressionally mandated requirements assigned to the agency and championing the needs of IRS customers, in effect producing an integrated, intuitive and long-lasting solution for 1099 management. To fulfil this intent, several rounds of testing will be conducted with small business owners and tax professionals. The various tasks assigned to each participant group will help to understand their mental model and prioritize the content within the portal. Although this is one filing portal, it serves many audience groups and this research will help to improve the experience across those groups.

## 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  
E-mail Address  
Photographic Identifiers  
Biometric Identifiers  
Employment Information

*Are there other types of PII collected in the Survey?*

Yes

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

During participant screening, type of business, annual income, filing preferences, geographic location, employment type, customer type, employee (count) range, tax filing preferences, age, gender, internet usage patterns, current occupation, type of computer will be asked. All of these data elements are aggregated and de-identified. Participants will also be asked if they consent to audio/video recording.

*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.

*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 00.001 Correspondence Files and Correspondence Control Files

IRS 10.004 Stakeholder Relationship Management and Subject Files

*The Privacy Act of 1974 (5 USC &sect552a(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 the information is 5 USC 301. The primary purpose of asking for the information is to determine steps the Internal Revenue Service (IRS) can take to improve our services to you. We are interested in collecting trends on the taxpayer experience, and individual responses will never be singled out. Please also note, that your results are anonymous, and reported as a summary of everyone we talk to. 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. Your participation is entirely voluntary, and you are free to exit the session at any time. While we would like the benefit of your insight to improve our website, there are not adverse consequences to you for not taking the survey.

*Privacy analyst agreement date.*

9/10/2020

## INCOMING PII INTERFACES

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

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: Booz Allen Hamilton

Transmission Method: Information not transmitted

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 recruited from a database maintained by UserWorks. All participants have voluntarily opted into a number of potential market research studies. Participants for this survey must: 1. Be at least 18 years of age. 2. Be a tax preparer or the owner of a small business.

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

A "call for participants" email will be sent by UserWorks (the third-party recruitment vendor previously noted) to individuals who have indicated to UserWorks their desire to participate in market research studies. Interested participants will be asked to complete a screener questionnaire via email and/or by phone by UserWorks. The remote or in-person interviews will be scheduled over email or by phone by UserWorks.

*Is the Survey voluntary/optional?*

Yes

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

The "call for participants" email states that participation is voluntary. During the session, the moderator will reiterate that participation is optional within the introductory section, "thank you for participating in this study. Today's session will take approximately 60 minutes. Participation in this study is voluntary and can be terminated at any time with no risk 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.*

WebEx Remote usability tests will be conducted via WebEx. Usability tests will be used to obtain qualitative information from participants. At the scheduled date and time, the Booz Allen Hamilton moderator will speak with the respondent over a WebEx conference line. The respondent will use his/her own equipment to view and test the application over WebEx. To supplement notes taken during the session, the WebEx session may be recorded using Booz Allen Hamilton's locally run software. For these remote sessions conducted over the WebEx (video and audio), observers will be able to watch the video of the participant's screen (not their face) and listen to the audio in real-time through WebEx. 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 Booz Allen Hamilton: Treasury/IRS employees or their representatives who are either a) assisting with the administration of the user research activity or b) have a vested business interest in the insights from the user research activity. Booz Allen Hamilton (vendor) employees who work on administering the user research activity to include the moderator, project lead, notetaker, designers, and content creator/developer. There will be up to 10 observers each from Treasury/IRS and vendor (Booz Allen Hamilton). The moderator and designated notetaker will take the notes that will be used for report synthesis. Observation by stakeholders provides a number of benefits including, but not limited to, creating an empathetic connection to the taxpayer as they attempt to use a product or a website to achieve their goals; allows stakeholders to experience the participant's emotional and mental burden for themselves; and to foster collaboration and insights in order to improve the taxpayer's experience.

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

No

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

No

*Will the Survey be audio-taped?*

Yes

*Provide the consent method and statement.*

Participants are informed and asked to consent to having their voice recorded as part of the introduction script in the moderator's guide: With your permission, we would like to record today's session. Anything you tell us will be presented in an anonymous format, your name will never be tied to your responses, and the information collected from the recordings will be used to fill in gaps in our notes and gather quotes for our final report. Do we have your consent to being recorded? The recordings are used exclusively for post-testing analysis. They are created and stored on a local device and are not shared with anyone outside of the Booz Allen Hamilton research team. No transcripts are produced. The moderator from Booz Allen Hamilton reviews the recordings to cover gaps in his/her notes and to collect quotes for the final report. The quotes, which are de-identified, bring the research findings to life and remind readers that the designs will ultimately be seen and used by real people. At no point will observers interact with participants.

*Will the Survey be video-taped?*

Yes

*Provide the consent method and statement.*

Participants are informed and asked to consent to having their screen recorded as part of the introduction script in the moderator's guide: With your permission, we would like to record today's session. Anything you tell us will be presented in an anonymous format, your name will never be tied to your responses, and the information collected from the recordings will be used to fill in gaps in our notes and gather quotes for our final report. Do we have your consent to being recorded? The recordings are used exclusively for post-testing analysis. They are created and stored on a local device and are not shared with anyone outside of the Booz Allen Hamilton research team. No transcripts are produced. The moderator from Booz Allen Hamilton reviews the recordings to cover gaps in his/her notes and to collect quotes for the final report. The quotes, which are de-identified, bring the research findings to life and remind readers that the designs will ultimately be seen and used by real people. At no point will observers interact with participants.

## 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:*

Contractor: Booz Allen Hamilton, recruitment vendor: UserWorks

*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.*

The only information delivered to the IRS will be a report that highlights aggregated and de-identified user findings, insights and recommendations and will transferred via secure email.

*Is data sent electronically?*

Yes

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

The PII will not be stored on IRS computers. UserWorks Inc. has a privacy policy (refer to attached document, UserWorks Practice and Policy--Handling PII of Research Participants, rev 3-26-2020.pdf) that precludes sharing PII with clients, including the IRS, and has implemented a procedural firewall that prevents IRS Federal employees and the Booz Allen Hamilton client team supporting them from accessing the PII. In addition, the PII records for participants who have opted into their participant database are presently retained indefinitely, unless the participant opts-out (unsubscribes), in which case they, UserWorks Inc., delete their registration information from the database at that point. The PII from people that they recruit for U.S. Internal Revenue Service projects by other means (e.g., personal contacts, social media, contacts with community or professional organizations) which occurs on a one-time basis for a particular study, are deleted within 60 - 90 days. This includes audio and video recordings of those sessions which are likewise deleted within 60 - 90 days.

*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 UserWorks Inc. b) Access to these files will be limited only to certain UserWorks Inc. staff. (2) Participant Scheduling: a) Participant scheduling spreadsheets (often referred to as "grids") are managed by UserWorks Inc. staff. b) The origin file will be de-identified and stored for archival purposes in an encrypted file within UserWorks Inc. c) Access to these files will be limited only to certain UserWorks Inc. staff and Booz Allen Hamilton staff who are working on the project (e.g.: moderator, facilitator, note-taker) d) Any working copies will be destroyed within 60 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 either verbal consent (in the event of a remote survey) or written consent (in the event of an in-person survey) to have their session recorded. Recordings may include audio, video, and/or screen capture.

*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: Read and Write Moderate

## **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 develop a 1099 portal per the Taxpayer First Act legislation.



*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.*

Survey results will not be shared directly with IRS. The results shared with IRS will be highlights aggregated and de-identified user findings, insights, and recommendations.

*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?*

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 Userworks. Access to these files will be limited only to certain UserWorks staff. In cases where participant is experiencing technical difficulties during the study, their phone number is provided to Booz Allen Hamilton to assist.

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

At the beginning of each session, the study's moderator will read an informed consent script aloud to each participant. Participants will be asked to provide verbal consent on an audio/video recording and will be informed that they can refuse to continue with the session at any point and no actions will be taken against them. Participant data will be de-identified and access to these files will be limited to UserWorks staff only. Moderators of the sessions will not be able to identify participants thus no adverse actions can be taken against participants.

*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?*

N/A

## 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. RCS 17 Item 25-IRS.gov Website-Destroy/Delete 6 years after processing year or when superseded, obsolete or no longer needed for the conduct of Agency business, whichever is later.

## 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