

Survey PCLIA ID Number: 5599
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.

Usability Testing-MITRE: 2020-2022, SU-5599

What type of information collection will be used?

Survey
Telephone Interview

Is this a new Survey?

Yes

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:

10/15/2020

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 running 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
Mailing address
Phone Numbers
E-mail Address
Date of Birth
Protection Personal Identification Numbers (IP PIN)

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, age range, gender, household size, household income range, filing status, US residency, US citizenship, race, ethnicity, education, language(s) proficiency, disability status/impairment type (assistive technologies used, need for ASL interpreter), employment status/type (federal/state/local govt, employment in tax services industry, self-employed, small business, etc.), possession of government-issued photo identification, knowledge/possession of SSN/ITIN (knowledge/possession only - a SSN/ITIN will never be requested), use of bank or other types of financial institutions, technology proficiency/comfort/access (internet use, device use, device type, email account, familiarity with web conferencing software, etc.), types of IRS services/touchpoints used, IRS.gov familiarity, tax proficiency. For tax professionals: role, type of client/taxpayer, frequency of communications with clients and communication channels. Voice/audio recording (for post-collection analysis only).

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.

Trusted Third Party (TTP) may collect from the following for the purpose of screening participants: Age, age range, gender, household size, household income range, filing status, US residency, US citizenship, race, ethnicity, education, language(s) proficiency, disability status/impairment type (assistive technologies used, need for ASL interpreter), employment status/type (federal/state/local govt, employment in tax services industry, self-employed, small business, etc.), possession of government-issued photo identification, knowledge/possession of SSN/ITIN (knowledge/possession only - a SSN/ITIN will never be requested), use of bank or other types of financial institutions, technology proficiency/comfort/access (internet use, device use, device type, email account, familiarity with web conferencing software, etc.), types of IRS services/touchpoints used, IRS.gov familiarity, tax proficiency. For tax professionals: role, type of client/taxpayer, frequency of communications with clients and communication channels. Regardless of participation status, no PII collected by TTP will be transferred to 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.

Age, age range, gender, household size, household income range, filing status, US residency, US citizenship, race, ethnicity, education, language(s) proficiency, disability status/impairment type (assistive technologies used, need for ASL interpreter), employment status/type (federal/state/local govt, employment in tax services industry, self-employed, small business, etc.), possession of government-issued photo identification, knowledge/possession of SSN/ITIN (knowledge/possession only - a SSN/ITIN will never be requested), use of bank or other types of financial institutions, technology proficiency/comfort/access (internet use, device use, device type, email account, familiarity with web conferencing software, etc.), types of IRS services/touchpoints used, IRS.gov familiarity, tax proficiency. For tax professionals: role, type of client/taxpayer, frequency of communications with clients and communication channels. Voice/audio recording (for post-collection analysis only). Participants will be only be referred to as an ID number by we do recommend taking MITRE out altogether, and replacing with "Trusted Third Party" (TTP), since this terminology is consistent with the statute and is not indicative and/or tied to any specific vendor/contractor name, which may otherwise change dependent on who is awarded future contract(s) associated with the ISAC - i.e., MITRE is currently under contract, but may not be the TTP for the duration of the PCLIA. and the IRS.

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 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.

Privacy analyst agreement date.

10/14/2020

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: Collection Data Warehouse (CDW)
Transmission Method: Secure IRS server
ISA/MOU: No

Name: National Distribution Center (NDC)
Transmission Method: Encrypted IRS email
ISA/MOU: No

Name: Email listservs from pilot programs/soft launches/in-house user research (ex: EPSS's 2017 Secure Access soft launch, etc.)
Transmission Method: Encrypted IRS email
ISA/MOU: No

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

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.)

Selection is based on specific characteristics and availability of participants. Characteristics will be drawn from the following: age, age range, gender, household size, household income range, filing status, US residency, US citizenship, race, ethnicity, education, language(s) proficiency, disability status/impairment type (assistive technologies used, need for ASL interpreter), employment status/type (federal/state/local govt, employment in tax services industry, self-employed, small business, etc.), possession of government-issued photo identification, knowledge/possession of SSN/ITIN (knowledge/possession only - a SSN/ITIN will never be requested), use of bank or other types of financial institutions, technology proficiency/comfort/access (internet use, device use, device type, email account, familiarity with web conferencing software, etc.), types of IRS services/touchpoints used, IRS.gov familiarity, tax proficiency. For tax professionals: role, type of client/taxpayer, frequency of communications with clients and communication channels.

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

Participants could be notified about the survey via USPS mail, email, website or phone call.

Is the Survey voluntary/optional?

Yes

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

Potential participants are notified verbally and/or in writing that participation is voluntary and that they may withdraw at any time with no negative consequences.

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

www.irslabs.org, XXX.XXXXX.XXX

Other

List the tool or application:

IT-approved tools listed in the Enterprise Standards Profile (ESP) such as Loop 11, Optimal Workshop, etc.

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

Phone

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

Participants will call-in to a conference call number at a pre-coordinated time. Screening potential participants is also conducted via telephone.

Mail

Explain the method for notifying participants. (Letter, Postcard)

On approval of the Office of Taxpayer Correspondence, the list of contacts (name and address) is provided to the IRS National Distribution Center using encrypted email. The IRS National Distribution Center sends two invitation letters to the provided list: first, a notification on IRS letterhead, and second, on TTP letterhead. Screening takes place using phone and/or a custom online form hosted at a secured TTP URL.

Will the Survey be audio-taped?

Yes

Provide the consent method and statement.

(verbal or written) Your participation is entirely voluntary, and you are free to end our session at any time. [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]. 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. The content your interview will be combined with others to identify key issues, which will be non-attributional in any reporting. Your name and contact details are stored in an encrypted file that is only available to the TTP 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 TTP or to the IRS. There are no expected risks of participation. TTP 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.

(verbal or written) Your participation is entirely voluntary, and you are free to end our session at any time. [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]. 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. The content your interview will be combined with others to identify key issues, which will be non-attributional in any reporting. Your name and contact details are stored in an encrypted file that is only available to the TTP 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 TTP or to the IRS. There are no expected risks of participation. TTP 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:

XXXX

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.

Encrypted email with password-protected attachments in which any PII is aggregated and de-identified.

Is data sent electronically?

Yes

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

Encrypted email with password-protected attachments in which any PII is aggregated and de-identified.

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.

All data concerning the study will be de-identified and stored in an encrypted directory within TTP. If collected or received by TTP, 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 TTP. Participant ID codes will never be linked with the participants identities.

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 and Write Moderate

Contractor Developers: Read and Write Moderate

Contractor System Administrator: Administrator 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 details aggregated and de-identified user perceptions and usability issues.

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. When the TTP is directly handling the recruitment of participants, 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 TTP research team only; b) The recruiting screener data will be combined with any survey data and de-identified by the TTP 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 Corporation research team. Access will be limited to the MITRE Corporation research team only; b) The participant scheduling spreadsheet will be de-identified by the MITRE Corporation research team and stored for archival purposes.

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. If a participant chooses to withdraw from the study all information collected by TTP will be deleted.

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 "Usability Testing-XXXXX: 2020-2022" 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 "Usability Testing-XXXXX: 2020-2022" 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