

Survey PCLIA ID Number: 5744
Date of Approval: January 06, 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.

Wage & Investment E-help Desk Focus Groups, SU-5744

What type of information collection will be used?

Focus Group

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:

Survey PCLIA 3591, Wage & Investment E-help Desk Focus Groups

Enter the approval date of the most recent Survey PCLIA?

9/15/2018

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

PCLIA Expired

Were there other changes not listed above?

Yes

Provide an explanation of the changes.

Changes to the moderator guide to inquire about options. Decreasing the frequency of focus groups and limiting to ten people. The reoccurring survey will be conducted annually.

Which Business Unit (BU) is requesting the Survey?

Wage and Investments

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?

Yes

Indicate Frequency.

Annually (3-year expiration date)

Expected start date:

1/25/2021

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 purpose of this project is to gather information from users of e-Services, regarding their interactions with the e-Services application and assistors. E-Services is a suite of web-based tools that allows tax professionals (Certified Public Accountants & Enrolled Agents), reporting agents, mortgage industry and payers to complete transactions online with the IRS. These services are only available to approved IRS business partners and not to the public. The tools include, IRS e-file Application, Taxpayer Identification Number (TIN) Matching Application, Taxpayer Identification Number (TIN) Matching Program, and Transcript Delivery System (TDS). The information collected from these focus groups will help the IRS provide better service to customers.

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
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:

Both age and gender questions are included in the focus group. Only participants first names are requested. Address will only be used to verify the participant. Type of tax professional (electronic return originator, enrolled agent, Certified Public Accountant, tax attorney, reporting agent, or another role).

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?

Yes

List the linkable data applicable to this Survey.

The database is a listing of people who completed the e-Help survey after making a call to the e-Help desk found on the IRS.gov website and indicated that they would be willing to be contacted about possibly participating in future research. The first name, last name, age, gender, e-mail address, and phone number, zip code are collected.

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 00.003 Taxpayer Advocate Service and Customer Feedback and Survey Records
- IRS 22.062 Electronic Filing Records
- IRS 24.030 Customer Account Data Engine Individual Master File
- IRS 24.046 Customer Account Data Engine Business Master File
- IRS 34.037 Audit Trail and Security Records

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 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.

Privacy analyst agreement date.

12/15/2020

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 E-Help Desk Calls

Transmission Method: Automated Services Relayed to Vendor

ISA/MOU: Yes

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.)

Yes

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

Organization Name: Contractor's database for third party participants in interviews

Transmission Method: Electronic File Transfer Utility (EFTU)

ISA/MOU: No

SURVEY PARTICIPATION

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

Participants are randomly chosen from a database maintained by the vendor. This database is a listing of people who completed the e-Help survey after making a call to the e-Help desk and indicated that they would be willing to be contacted about possibly participating in future research. Each participant will be paid a \$75 eGift card incentive after their participation in the focus group.

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

Participants are notified during the initial phone call to IRS E-Help Office.

Is the Survey voluntary/optional?

Yes

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

The service provider verifies that the taxpayer voluntarily agrees to participate in future surveys or focus groups. If at any time the participant wishes to stop, the participant may do so without consequence.

SURVEY PROCESS

How will the Survey be conducted?

Phone

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

An initial phone call will be made to potential participants. If they agree and are e-Services users, they will be scheduled for a telephonic focus group. An email will also be issued to the participant which will include screenshots that will be referenced during the call.

Will the Survey be audio-taped?

Yes

Provide the consent method and statement.

Verbal consent to record interview.

Will the Survey be video-taped?

No

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:

ICF INCORPORATED, L.L.C.

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.

Electronic File Transfer Utility (EFTU).

Is data sent electronically?

Yes

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

Data will only be sent electronically via EFTU.

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 e-help survey data is received via secure transmission. Sensitive IRS data resides on a secure server, and the contractor will use 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-Only Moderate

Contractor Managers: Read-Only Moderate

Contractor Developers: Read-Only Moderate

Contractor System Administrator: Read-Only Moderate

SURVEY INFORMATION

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

Only aggregated responses will be provided to the business owners. No identifying information will be provided.

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.

At the end of the contract, for all security levels, the contractor must provide a plan and document the implementation of this plan to ensure that all hard copy and electronic data is returned to the IRS, sanitized, or destroyed per our Blanket Purchase Agreement (BPA).

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

No

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 aggregated data is sent to the Business Unit (BU).

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

Once aggregated data/reports are sent to the BU, then any identifying data is destroyed at the end of the contract per BPA.

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?

No PII will be provided from the vendor. Only a report will be sent to IRS.

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.

GRS 6.5 Item 010-Public customer service operations records. -Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

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