

Survey PCLIA Report

Date of Approval: January 24, 2017

Survey PCLIA ID Number: **2131**

A. Survey Description

1. Full name and acronym of the Survey. Convenient & Efficient Service in the Future State: Incorporating Taxpayer Feedback on Transcripts into the Future State of Service Delivery. None

2. Is this a Survey, Telephone Interview or Focus Group? Telephone Interview

NOTE: the remaining questions will be simplified to refer to the Survey but still apply to Telephone Interview or Focus Group. If Telephone Interview or Focus Group, a copy of Interview Questions or the Moderators Guide will be requested by the Privacy Analyst.

3. Is this a new Survey? Yes

4. Is this a reoccurring Survey? No

4.b. If no, provide the dates collection of information will begin and end. 2/10/2017 through 5/15/2017

5. Does this Survey have an SOI (Statistics of Income) control number? Yes

5.a. If yes, enter the number. SOI-505

6. Does the Information Collection Request require OMB Clearance? Yes

6.a. If yes, what is the OMB Clearance number? OMB# 1545-1349

A.1. General Business Purpose

7. What is the general business purpose of this Survey? Provide a clear, concise description of the Survey, the reason for the Survey, and the benefits to the IRS mission.
As the IRS moves to a Future State service vision that utilizes digital service options to provide the most convenient and efficient service for taxpayers, Field Assistance (FA) has developed a Taxpayer Assistance Center (TAC) Strategy to create a new TAC service model. The strategy outlines a Future State vision as well as the strategic goals, objectives, initiatives, and timelines for realizing that vision. Obtaining taxpayers' opinions, thoughts, and ideas about the Future State vision, and corresponding TAC Strategy, ensures the taxpayer perspective is integrated into the IRS approach for offering convenient and efficient service. During the FY2013 administration of the TAC Customer Expectations Survey, taxpayers seeking transcripts was the highest volume tax-related task, accounting for 26 percent of TAC demand. The proposed study focuses on the opportunity to obtain taxpayer's thoughts and ideas regarding taxpayer assistance to obtain tax transcripts. More specifically, Wage & Investment Strategies and Solutions (WISS) Research proposes conducting rich, in-depth qualitative research to better

understand the drivers of transcript traffic. Focus groups will be conducted over the phone with taxpayers who have recently requested transcripts. One-on-one interviews will be conducted over the phone with third parties who work within industries that require transcripts for service. For instance, the IRS has the capability to provide bulk, electronic transmissions of tax transcripts to third parties. The IRS is interested in how to best leverage this tool for educational institutions that require transcripts for education funding (FAFSA). Providing tax transcripts in this way, may better meet the needs of educational institutions that have concerns regarding whether or not tax transcripts are official. Through this qualitative research endeavor, the IRS will identify significant drivers and data needs in transcript demand. Obtaining information directly from taxpayers and other key stakeholders, the proposed research will allow the IRS to integrate the taxpayer perspective into the Future State of IRS service delivery for a high-demand service need. Additionally, the information gathered will allow the IRS to develop marketing and communication strategies to facilitate taxpayer and third-party adoption of more convenient and efficient service channels for transcript needs.

B. PII Details

8. Is Personally Identifiable Information ([PII](#)) used, collected, received, displayed, stored, maintained, or disseminated in the Survey; or is PII used to select participants? (i.e. names, addresses, email addresses, etc)? Yes

8.a. If yes, specify the information.

<u>Selected</u>	<u>PII Element</u>	<u>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>
Yes	Name	Yes	No	No
No	Mailing address	No	No	No
Yes	Phone Numbers	No	No	No
No	E-mail Address	No	No	No
No	Date of Birth	No	No	No
No	Place of Birth	No	No	No
No	SEID	No	No	No
No	Mother's Maiden Name	No	No	No
No	Protection Personal Identification Numbers (IP PIN)	No	No	No
No	Internet Protocol Address (IP Address)	No	No	No
No	Criminal History	No	No	No
No	Medical Information	No	No	No
No	Certificate or License Numbers	No	No	No
No	Vehicle Identifiers	No	No	No
No	Passport Number	No	No	No
No	Alien (A-) Number	No	No	No
No	Financial Account Numbers	No	No	No
No	Photographic Identifiers	No	No	No
No	Biometric Identifiers	No	No	No
No	Employment (HR) Information	No	No	No
Yes	Tax Account Information	Yes	No	No

8.b Are there other types of PII collected in the Survey? No

8.c. Is any PII data collected, disclosed, or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate? No

C. Privacy Act & System of Records

9. Is there a System of Records Notice(s) or SORNs that addresses the PII records in this Survey? Yes

9a. If yes, enter the SORN number(s) and the complete name of the SORN(s).

<u>SORNS Number</u>	<u>SORNS Name</u>
00.001	Correspondence Files and Correspondence Controls
00.003	Taxpayer Advocate Service & Customer Feedback and
22.062	Electronic Filing Records
24.030	Customer Account Data Engine Individual Master Fil
24.046	Customer Account Data Engine Business Master File
34.037	IRS Audit Trail and Security Records

C.1. Privacy Act Notice

9.1 Based on the information you have provided, does the Survey require a Privacy Act Notice to be provided to participants? Yes

9.1.a. If yes, please 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, Treas/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.

D. Responsible Parties

10. Identify the individuals for the following Survey roles: (System Owner = Survey Owner/Business Owner) ## Official Use Only

E. Incoming PII Interfaces

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

11.a. If yes, list the source that the PII is extracted or derived from.

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
Online Services	Electronic	No
TDS	Electronic	No
FSA	Electronic	No

11.1. Does the data come from other sources? No

F. PII Sent to External Organizations

12. Are the Survey results disclosed to any other Federal or State Government? (For example the Federal Viewpoint Survey/Questionnaire – OPM gets the results.) No

13. Are any external resources used to create the database of the participants? Yes

13.a. If yes, identify the external resources used to create the database, how the data is transmitted and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
<u>Contractor's database for third party participants in interviews</u>	<u>EFTU</u>	<u>No</u>

G. Survey Participation

14. Will the Survey be administered to IRS, Taxpayers or Others ? Taxpayers

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. The contractor will recruit taxpayers who previously contacted the IRS for a copy of their transcript in the past 14 months for three focus groups. Research will compile a list of these taxpayers and their contact information for the contractor to solicit participants. It is expected that approximately 360 taxpayers will be solicited to schedule 36 focus group participants, of which 18 are expected to actually participate in the focus groups over the phone. For the in-depth interviews, the contractor will use social media to solicit participation of professionals that work in positions that require tax transcripts for services. It is expected that approximately 200 stakeholders will be solicited for participation. Of which 20 participants for interviews will be scheduled and 17 are expected to participate in interviews over the phone.

16. How are participants notified of the Survey? Taxpayers will be recruited through screening and if appropriate invited to participate in focus groups that will take place over the phone. Stakeholders will be invited to participate in interviews that will take place over the phone.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? Notice will be indicated during recruitment and reiterated prior to the beginning of the actual focus group or interview.

18. How will the Survey be conducted?

No Electronically

No Web Based

Yes Phone

Explain the procedure. Focus group participants will be solicited via phone from a list of IRS transcript requests within the past 14 months. For the third party stakeholder interviews, will utilize its own social media outlets such as Facebook, LinkedIn, and Twitter to identify participants needed for the interviews. Recruitment via social media will be a viable option to obtain a range of industry professionals (such as XXX or mortgage company representatives). A XXX (contractor) researcher will serve as the

moderator for the focus group sessions, as well as the interview sessions. An additional researcher will serve as a note taker/scribe for the sessions. The focus group and interview sessions will be limited to one hour in length, and the session topic will be clearly communicated to potential participants in order to maximize participation. Participants will be assured anonymity of their responses, thus being free to express their thoughts and opinions.

No Mail

No Other

G.1. Survey Process

19. Does IRS administer or perform analysis of the survey? Neither

20. Does Contractor/Vendor administer or perform analysis of the survey? Yes

Contractor/Vendor: Both

Provide the name of the Contractor/Vendor. XXX (XXX) ## Official Use Only

Has a Contracting Officer or a Contracting Officer's Representative (COR) verified that:

20.a.1. All applicable FAR requirements are met to engage a contractor to perform the survey. Yes

20.a.2. That all required "non-disclosure" clauses are contained in the contract. Yes

20.a.3. That all contractor employees who will have access to the data have signed non-disclosure agreements and the non-disclosure forms are on file with the COR. Yes

20.b. If yes, what is the level of access and background investigation completed on contractor employees prior to access to PII about employees or taxpayers? *Any contractor or subcontractor who will have access to the PII should have at least a "Moderate Risk" (NACIC) investigation. See Publication 4812 - Contractor Security Controls*

Contractor Employees?	Yes/No	Access Level	Background Invest. Level
Contractor Users	Yes		Moderate
Contractor Managers	Yes		Moderate
Contractor Sys. Admin.	Yes		Moderate
Contractor Developers	Yes		Moderate

I. Information Protection

21. What information/results will be provided to the business owners (IRS Requestors) of the Survey? Cleansed Data Files

22. Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances? Yes

23. Can you confirm that no adverse actions can be taken against participants regarding the participant's answers. Yes

24. For employee or taxpayer Satisfaction Surveys, can you verify that no "raw" or un-aggregated employee or taxpayer data will be provided to any IRS office? N/A

25. Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey? No

I.1 Records Schedule

26. Are the Survey records covered under the General Records Schedule (GRS), or have a National Archives and Records Administration (NARA) archivist approved a Record Control Schedule for the retention and destruction of official agency records stored in this Survey? Yes

.a. If Yes, how long are the records required to be held under the corresponding RCS and how are they disposed of? Explain how long any PII data will be retained by the contractor if they are conducting the Survey on behalf of the IRS. In your response, please include the complete IRM number.
26.a. If Yes, how long are the records required to be held under the corresponding RCS and how are they disposed of? Explain how long any PII data will be retained by the contractor if they are conducting the Survey on behalf of the IRS. In your response, please include the complete IRM number and specific item number and title.

The focus groups and interviews are unscheduled. A request for records disposition authority for this survey (and other similar external surveys Service-wide) is currently being drafted with the assistance of the IRS Records and Information Management (RIM) Program Office. When approved by the National Archives and Records Administration (NARA), it is anticipated that instructions for this data collection will include retentions for the datasets/raw data, background documentation, and summary/final reports. Reference: NIST 800-53, Recommended Security Controls for Federal Information Systems & Organizations (Media Protection, Media Storage, System and Information Integrity) NIST Special Publication 800-88 CSS BPA Contract Section Secure Data Transfer (SDT) Requirement CSS BPA Contract IRSAP clause 1052.224-9000(c)

P.1 Data Security

27. How does the administrator of the survey guarantee that the PII regarding employees or taxpayers will not be compromised, lost or stolen when housed on IRS computers? Where and how is it stored and protected? SECTION III: SECURITY AND SAFEGUARDS REQUIREMENTS This delivery order incorporates Section IV of BPAs TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030; entitled, "Security and Safeguards Requirements (Clauses)" by reference in its entirety just as if these provisions were included in full text. The contractor expressly acknowledges that the requirements of the referenced sections are in full force and effect all times during the delivery order. Safeguarding TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030, Section IV, Paragraph A (entitled "Safeguarding") is incorporated in its entirety. The contractor specifically acknowledges the applicability of the following at all times under the delivery order: • All applicable disclosure and privacy safeguard provisions addressed in the Interim Guidance on IRS Acquisition Procedures (IRSAP) dated June 16, 2010 • Tax Information Security Guidelines for Federal, State and Local Agencies (Enclosure –URL) Safeguards for Protecting Federal Tax Returns and Return Information • These documents ensure that the contractor maintains data safeguarding procedures for all IRS data designated as Federal Taxpayer Information (FTI), or as

sensitive, but non-classified. Authority TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030, Section IV, Paragraph B (entitled "Authority") is incorporated in its entirety. The contractor specifically acknowledges the applicability of the following at all times under the delivery order: • The general policies regarding the investigative requirements for contractor employees, subcontractors, experts and consultants. • The requirements of IRM 10.23.2, entitled Personnel Security, Contractor Investigations. TIRNO-15-Z-00028-D0008 Security and Safeguards Clauses TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030, Section IV, Paragraph C (entitled "Security and Safeguards Clauses") is incorporated in its entirety. This delivery order incorporates the following clauses just as if they were included in full text. All IRSAP clauses may be found at: IRSAP Number IR1052.204-9000Screening Requirements (MAR 1998) IR1052.204-9001Identification/Badging Requirements (MAR 1998) IR1052.204-9003IRS Security Awareness Training Requirements (JUN 2013) IR1052.204.9005Submission of Security Forms and Related Materials (APR 2015) IR1052.204.9006Notification of Change in Contractor Employee Employment Status, Assignment, or Standing (JUN 2013) IR1052.204-9007IRS Specialized Information Technology (IT) Security Training (Role-Based) Requirements (APR 2015) IR1052.209-9001Organizational Conflicts of Interest (APR 1998) IR1052.216-9000Task/Delivery Order Contract Ombudsman (MAR 1996) IR1052.224-9000Disclosure of Information (DEC 1988) IR1052.224-9008Safeguards against Unauthorized Disclosure of Sensitive but Unclassified Information (JUN 2013) IR1052.239-9007Access, Use or Operation of IRS Information Technology (IT) Systems by Contractors (APR 2015) IR1052.239-9014Information Systems and Information Security Controls for Contracting Actions Subject to Internal Revenue Manual (IRM) 10.8.1 (APR 2015) IR1052.239-9015Information Systems and Information Security Controls for Contracting Actions Subject to Publication 4812 (APR 2015)TIRNO-15-Z-00028-D0008 IR1052.239-9016Information System and Information Security Control Standards and Guidelines Applicability (APR 2015) The following non-disclosure agreement is applicable to this delivery order: Non-disclosure Agreement TDP 71-10 found at: Privacy Act Requirements TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030, Section IV, Paragraph D (entitled "Privacy Act Requirements") is incorporated in its entirety. The contractor specifically acknowledges receipt of information from one or more of the system of records identified in this section, and also acknowledges the requirements for protection of this information as set forth in the cited section. Physical and Computer Security of Federal Tax Information (FTI) TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030, Section IV, Paragraph E (entitled " Physical and Computer Security of Federal Tax Information (FTI)") is incorporated in its entirety. The contractor acknowledges the requirements for the protection of FTI. Security -- HSPD-12 TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030, Section IV, Paragraph F (entitled "Security -- HSPD-12") is incorporated in its entirety. The contractor specifically acknowledges that the requirements of the Federal Information Security Management Act (FISMA) Title III of the E-Government Act of 2002, P.L. 107-347, are applicable to this task order. The FISMA security reviews for this contract have been determined to be of a moderate sensitivity impact level in the areas of confidentiality, integrity, and availability. Secure Data Transfer (SDT) Requirements TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030, Section IV, Paragraph G (entitled "Secure Data Transfer (SDT) Requirements") is incorporated in its entirety. The contractor specifically acknowledges the Secure Data Transfer requirements of this section. SECURITY FOR DATA TRANSMISSION BETWEEN GOVERNMENT PRINTING OFFICE (GPO) AND BPA CONTRACTORS: TIRNO-15-Z-00028-D0008 TIRNO-15-Z-00028, TIRNO-15-Z-00029 & TIRNO-15-Z-00030, Section IV, Paragraph H (entitled "SECURITY FOR DATA TRANSMISSION BETWEEN GOVERNMENT PRINTING OFFICE (GPO) AND BPA CONTRACTORS ") is incorporated in its entirety. The contractor specifically acknowledges the SECURITY FOR DATA TRANSMISSION BETWEEN GOVERNMENT PRINTING OFFICE (GPO) AND BPA CONTRACTORS requirements of this section

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

28.a. If yes, Please provide the Cyber security approved security and encryption used when data is transferred electronically from IRS to Contractors and back to the IRS. No taxpayer PII is gathered. Cybersecurity and National Institute of Standards & Technology (NIST) require data to be transferred through the Electronic File Transfer (EFTU).

28.b. If yes, When data is not sent electronically, provide in detail the information regarding the transfer back and forth from the IRS to contractors. Data will be sent electronically only.

28.c. If yes, How is the survey PII protected and stored when it is housed at a contractor's site, on contractor's computers, please provide detailed information that the contractors uses regarding the physical and electronic security and protection of the data before, during, and after the survey. All data is required to be segregated from other non IRS data. In addition, all data at rest or in transport must be encrypted. Whenever information is stored on IT assets at the facility, the contractor must be compliant with the implementation of NIST 800-53, Recommended Security Controls for Federal Information Systems & Organizations controls.

M. Civil Liberties

29. 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 and of the press, and freedom of assembly and petition)? No

30. Will this Survey have the capability to identify, locate, and monitor individuals or groups of people? No

End of Report
