

Survey PCLIA Report

Date of Approval: September 15, 2018

Survey PCLIA ID Number: **3591**

A. Survey Description

1. Full name and acronym of the Survey. Wage & Investment E-help Desk Focus Groups, N/A
2. Is this a Survey, Telephone Interview or Focus Group? Focus Group

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
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4. Is this a reoccurring Survey? No

4.b. If no, provide the dates collection of information will begin and end. 9/2018-12/2018
Pending OMB approval

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

5.a. If yes, enter the number. SOI-522

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

6.a. If yes, what is the OMB Clearance number? 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.
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, 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

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>On</u> <u>Primary</u>	<u>On Spouse</u>	<u>On</u> <u>Dependent</u>	<u>Selected</u>	<u>PII</u> <u>Element</u>
Yes	Name	Yes	No	No
Yes	Mailing address	No	No	No
Yes	Phone Numbers	No	No	No
Yes	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
No	Tax Account Information	No	No	No

8.b Are there other types of PII collected in the Survey? Yes

8.b.1. If 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.

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>
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 System

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, 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)? 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>
Contractor's database for third party participants in interviews	EFTU	No

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. 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.

16. How are participants notified of the Survey? Participants are notified by email.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? The email will tell them the survey is voluntary.

18. How will the Survey be conducted?

No Electronically

No Web Based

Yes Phone

Explain the procedure. 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.

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. ICF INCORPORATED, L.L.C.

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

22. Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances? No

22a. If No, please explain. The IRS has no way of identifying the participants but the contractor has.

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? Yes

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

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 E-Help Focus Group for Option Year 2 is scheduled. All survey records for the E-Help Focus Group for Option Year 2 will be deleted or destroyed in accordance with approved retention periods. Any records will be managed according to requirements under IRM 1.15.1 and 1.15.6, and will be destroyed using IRS General Records Schedule (GRS) 6.5, Item 010 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. Cyber-security and NIST Standards for records retention requirements state that documents must be securely maintained for seven years prior to destruction or until the end of the contract term (10/01/2016-03/31/2020), whereas the participation of the contractor under the CSS BPA has been terminated. These requirements will obviously be considered in drafting a final request for records disposition authority for NARA submission and approval. Reference other data security guidance/policy: 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) equipment 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? Only aggregated results from the focus group will be provided to the business unit. No PII will be provided from the vendor.

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. All data will 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 only be sent electronically.

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 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 a ICF's Login Protected Network. That can only be accessed by authorized personnel.

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
