Date of Approval: 07/29/2024
Questionnaire Number: 1401

Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

E-help Desk Focus Groups

Business Unit

Taxpayer Services

Preparer

For Official Use Only

Subject Matter Expert

For Official Use Only

Program Manager

For Official Use Only

Designated Executive Representative

For Official Use Only

Executive Sponsor

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its 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.

Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?

Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).

There is no sensitive data for the focus group other than the name, telephone number and email address.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Email Address
Name
Telephone Numbers

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

Product Information (Questions)

1.1 Is this survey a result of the Inflation Reduction Act (IRA)?

No

1.13 What is your research method(s) used (i.e., survey, telephone interview, focus group, etc.)?

Focus Group

1.14 Is this a new survey, telephone interview, focus group, or usability testing? Throughout the rest of this questionnaire, we will use the term "survey" to include all of these.

No

1.15 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this survey?

Yes

1.16 Enter the full name of the most recent PCLIA.

Wage & Investment E-help Desk Focus Groups

1.17 Enter the PCLIA number of the most recent PCLIA.

7183

1.18 What are the reasons for the change?

Updated some of the question topics

1.19 Which Business Unit (BU) is requesting this survey?

Taxpayer Services

1.21 Who will the survey be administered to?

External Tax Preparer

1.22 What is the start date?

8/1/2024

1.22 Will the survey be administered annually (3-year expiration)?

Yes

1.22 Is this a reoccurring survey?

Yes

1.23 What is the end date?

08/30/2027

2.11 Will the survey capture any type of PII or is PII (names, addresses, email addresses, etc.) used to select participants?

Yes

2.12 If any PII data is collected, disclosed, or studied on individuals who choose not to participate, please describe the data.

Only aggregated results from the focus group will be provided.

2.13 List any linkable data that the survey uses, collects, receives, displays, stores, maintains, or disseminates (gender, ethnicity, parts of address, tax filing information, etc.) or uses to select participants?

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. The participants could you say where you live, and something that you like about where you live.

2.14 Explain how the participants are selected. Include a detailed description. Please provide your research plan as supporting documentation.

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.

2.15 How are the participants notified (letter, postcard, email, etc.) of the survey, and if the survey is voluntary/optional, how is notice given? If it is not voluntary, please explain why it is mandatory.

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

3.11 What tool(s) is/are used to conduct the survey? Please indicate if the anonymous feature has been set for the survey, if applicable.

Telephone

3.12 Will the survey be audio-recorded or video-recorded?

No

4.11 Does this survey retrieve information by any personal identifier for an individual who is a U.S. citizen, or an alien lawfully admitted for permanent residence? If the answer is Yes, you must have at least one SORN name and number selected in the SORNs section.

Yes

4.12 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 themselves. Do survey participants provide information about themselves?

Yes

4.13 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 the questions will not affect you.

4.14 Does the IRS administer (conduct) the survey?

No

4.21 If a contractor administers (conducts) and analyzes the survey, is all work performed and contained in the United States?

Yes

4.22 How does the administrator of the survey protect employees' or taxpayers' SBU/PII from compromise, loss, theft, or disclosure?

Only aggregated results from the focus group will be provided to the business unit. No PII will be provided from the vendor.

4.23 Where and how is the PII stored and protected?

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 the contractor authorized personnel.

4.24 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)

4.25 How is the survey PII protected and stored when it is housed at a contractor site on contractor computers? Provide a detailed explanation of 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.

4.26 Has a Contracting Officer or Contracting Officer's Representative (COR) verified the contract included privacy and security clauses for data protection and that all contractors have signed non-disclosure agreements which are on file with the COR?

Yes

4.27 Identify the roles and their access level to the PII data.

Contractor Users- Moderate Level; Contractor Managers- Moderate Level; Contractor Sys. Admin.- Moderate Level; Contractor Developer- Moderate Level

4.28 Explain the precautions taken to ensure the survey results will not be used for any other purpose not listed in the Detailed Business Purpose and Need section and to ensure that employees or taxpayers who participate in the survey cannot be identified or re-identified under any circumstances and no adverse actions taken.

The IRS has no way of identifying the participants, but the contractor has. Once aggregated data/reports are sent to the BU, then any identifying data is destroyed at the end of the contract per BPA.

4.28 Identify the roles and their access level to the PII data and indicate whether their background investigation is complete or not.

Contractor Users- Moderate Level; Contractor Managers- Moderate Level; Contractor Sys. Admin.- Moderate Level; Contractor Developer- Moderate Level; All of these have a moderate level of Background Investigation done.

4.29 Does the administrator of the survey have access to information identifying participants?

No

5.11 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.

5.12 If the survey maintains records describing how an individual exercises their rights guaranteed by the First Amendment, explain the First Amendment information being collected and how it is used.

Only aggregated results are given.

5.13 Does the individual about whom the information was collected or maintained expressly authorize its collection/maintenance?

No

5.14 If the First Amendment information will be used as the basis to make any adverse determination about an individual's rights, benefits, and/or privileges, explain the determination process. Consult with IRS General Legal Services to complete this section.

Only aggregated results are given.

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Electronic File Transfer (EFTU)

Incoming/Outgoing

Both

Transfer Method

Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 22.062 - Electronic Filing Records

Describe the IRS use and relevance of this SORN.

To administer and market electronic filing programs.

SORN Number & Name

IRS 00.003 - Taxpayer Advocate Service and Customer Feedback and Survey Records

Describe the IRS use and relevance of this SORN.

To improve quality of service by tracking customer feedback (including complaints and compliments), and to analyze trends and to take corrective action on systemic problems.

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.

To track correspondence including responses from voluntary surveys.

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

To identify and track any unauthorized accesses to sensitive but unclassified information and potential breaches or unauthorized disclosures of such information or inappropriate use of government computers to access Internet sites for any purpose forbidden by IRS policy (e.g., gambling, playing computer games, or engaging in illegal activity), or to detect electronic communications sent using IRS systems in violation of IRS security policy.

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

To maintain records of business tax returns, return transactions, and authorized taxpayer representatives.

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

To maintain records of tax returns, return transactions, and authorized taxpayer representatives.

Records Retention

What is the Record Schedule System?
  General Record Schedule (GRS)
What is the retention series title?
  GRS 6.5 Item 010-Public customer service operations records
What is the GRS/RCS Item Number?
  GRS 6.5 Item 010
What type of Records is this for?
  Both (Paper and Electronic)
Please provide a brief description of the chosen GRS or RCS item.
  Records from operating a customer call center or service center providing services to the public. Services may address a wide variety of topics such as understanding agency mission-specific functions or how to resolve technical difficulties with external-facing systems or programs.
What is the disposition schedule?
  Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.