

Survey PCLIA ID Number: 7961
Date of Approval: June 21, 2023

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.

Clean Energy Usability Testing, SU-7961

What type of information collection will be used?

Survey

Is this a new Survey?

Yes

Which Business Unit (BU) is requesting the Survey?

Modern Information Technology Services

Who will the Survey be administered to?

External Survey (Taxpayers or Others)

Is your Survey a Customer Satisfaction or Taxpayer Experience Survey?

No

Is this a reoccurring Survey?

Yes

Indicate Frequency

Annually (3-year expiration date)

Expected start date:

6/5/2023

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. The Taxpayer Business Portal team will conduct "moderated" survey sessions, which involve the active participation of a moderator which will be conducted remotely. The product or website being tested can range anywhere from an early design concept to the version currently 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 team will use the insights of this testing to improve the customer experience, service, and satisfaction to meet taxpayer goals more effectively. The target participants are business owners and/or business representatives who want to handle their business' tax matters online (e.g., verify their income, view transcripts, etc.). Eight to ten participants will be selected for each session block, which will be held virtually via ZoomGov.

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
Phone Numbers
E-mail Address
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 range, gender, household size, household income range, marital status, US residency, ethnicity, education, language(s) proficiency, disability status/impairment type (assistive technologies used, need for ASL interpreter), employment status/type (PT/FT/Unemployed;

federal/state/local govt, employment in tax services industry, self-employed, small business, military, non-profit, etc.), tax account information (filing status - S/MFJ/MFS/HH, number of dependents, withholding status - employer/estimated payments/pay at filing, filing habits - electronic/paper/self/pro, balance due - refund or pay, types of IRS forms filed - 1040/940/1065, types of letters/notices received - CP2000, etc.), se of bank or other types of financial institutions/services, technology proficiency/comfort/access (internet use, device use, device type, email account, familiarity with web conferencing software, etc.), types of IRS interactions/services/touchpoints.

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.

Age range, gender, household size, household income range, marital status, US residency, ethnicity, education, language(s) proficiency, disability status/impairment type (assistive technologies used, need for ASL interpreter), employment status/type (PT/FT/Unemployed; federal/state/local govt, employment in tax services industry, self-employed, small business, military, non-profit, etc.), tax account information (filing status - S/MFJ/MFS/HH, number of dependents, withholding status - employer/estimated payments/pay at filing, filing habits - electronic/paper/self/pro, balance due - refund or pay, types of IRS forms filed - 1040/940/1065, types of letters/notices received - CP2000, etc.), se of bank or other types of financial institutions/services, technology proficiency/comfort/access (internet use, device use, device type, email account, familiarity with web conferencing software, etc.), types of IRS interactions/services/touchpoints.

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.

Purpose: The primary purpose of asking for the information is to determine steps the IRS can take to improve our services to you. Authority: The authority requesting this information is 5 USC 301 which provides the head of an Executive department (Treasury/IRS), or military department may prescribe regulations for the government of his department, the conduct of its employees, the distribution and performance of its business, and the custody, use, and preservation of its records, papers, and property. Routine Uses: The information may be disclosed as authorized by the routine uses published in 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. The information may be disclosed to an IRS contractor, if necessary, for analysis. Consent: By providing your information as requested, you are consenting to the use of your information for the purposes stated herein. Consequences: Providing the information is voluntary. Not answering some or all of the questions will not affect you but we would like your valuable insight so we can consider best how to improve our services to you. Online: N/A Other: N/A

Privacy analyst agreement date.

6/6/2023

INCOMING PII INTERFACES

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

No

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

Yes

Identify the external resource(s) the PII data is extracted/derived from, how the data is transmitted, and is there a reciprocal agreement.

Name: Deloitte Consulting (contractor)
Transmission Method: not transmitted to the IRS
ISA/MOU: 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.)

Participants are selected from a database of individuals who have opted in to participate in a variety of market research studies. Selection for IRS studies is based on self-reported familiarity with the tax-related topic(s) relevant to a given study, as well as availability.

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

Potential participants will be contacted by Deloitte via their self-reported emails to verify eligibility and availability. An outreach email is included in the attachments.

Is the Survey voluntary/optional?

Yes

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

The outreach messaging states that participation is open only to those individuals who meet the study qualifications and are interested in participating. In addition, participants are told that their participation is voluntary, and that they may exit the survey at any time and for any reason without any kind of penalty. The following statement will be given to participants: "You understand that participation in this study is voluntary, and you agree to immediately raise any concerns or areas of discomfort during the session with the study administrator. You will receive a gift card in the amount of \$25 for your participation. This interview will take approximately 1 hour. You understand and consent to the use of the audio, video, and/or digital recording by Deloitte on behalf of the IRS for analysis purposes only. You further understand and consent that there may be observers who will be able to watch and listen to this session in real-time (online or in-person). There are no expected risks of participation. Deloitte will take appropriate precautions to protect your privacy, as explained in our Privacy Act Statement and Privacy and Civil Liberty Impact Assessment."

SURVEY PROCESS

How will the Survey be conducted?

Other

Please explain.

All sessions will be conducted remotely via ZoomGov. At the scheduled time, the respondent will join the remote meeting with the Deloitte moderator. To supplement notes taken during the session, the screen and audio will be recorded using locally run software. Observers will also be able to watch and listen in real time via WebEx or ZoomGov. Participants are informed of and consent to being observed. At no time will the observers interact with the participants. While observers may be able to see participants on a screen, only aggregated and de-identified PII will be shared. Information about a specific participant will never be attributed to specific responses or insights. Observers will be stakeholders from both Treasury/IRS and Deloitte. Treasury/IRS observers are employees or their representatives who are either assisting with the administration of the user research activity or have a vested business interest in the insights from the user research activity. Deloitte observers are employees who work on administering the user research activity to include the moderator, project lead, notetaker, designers, and content creators/developers. There will be up to 10 observers each from Treasury/IRS and Deloitte. The moderator and designated notetaker will take the notes that will be used for report synthesis. Observation by stakeholders provides a number of benefits, including, but not limited to, creating an empathic connection to the taxpayers as they attempt to use a product or a website to achieve their goals, allowing stakeholders to experience the participant's emotional and mental burden for themselves, and fostering collaboration and insights in order to improve the taxpayer's experience.

Will the Survey be audio-taped?

Yes

Provide the consent method and statement.

The moderator reads a statement describing the session, including duration, desire to record the session, and presence of observers. The moderator will emphasize that participation is voluntary. The moderator will then request verbal consent to record the session, and verbal consent for the presence of observers.

Will the Survey be video-taped?

Yes

Provide the consent method and statement.

The moderator reads a statement describing the session, including duration, desire to record the session, and presence of observers. The moderator will emphasize that participation is voluntary. The moderator will then request verbal consent to record the session, and verbal consent for the presence of observers.

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:

Deloitte

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.

PII is not provided to the IRS. All participant information provided to the IRS is aggregated and de-identified. Deloitte utilizes encrypted email on IRS laptops to share deliverables.

Is data sent electronically?

Yes

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

Through encrypted email over IRS network

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.

Any PII data will be de-identified (meaning the removal of participant names and contact information, as well as any other personally identifiable information contained in screener responses) and will not be used during the reporting of results. No PII data will be stored after the survey participants are identified and selected. Data, results, and analysis will not be stored on any public or unsecured repositories. Survey results and analysis will be stored on a secured, private Deloitte Federal SharePoint site, which fulfills the security standards for sensitive artifacts. Access to the repository is limited to small subset of individuals on the Deloitte team, and access to the repository must be granted by the SharePoint administrator on the Deloitte team.

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 System Administrator: Administrator High

SURVEY INFORMATION

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

The deliverable will be a report that highlights aggregated and de-identified user findings, insights, and recommendations to improve user interactions with the IRS.

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, and IRS stakeholders will only receive an aggregated report of study findings.

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.

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 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 study 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