Date of Approval: 04/18/2024
Questionnaire Number: 1079

Basic Information/Executive Summary

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

OPI Taxpayer Feedback - Customer Satisfaction Survey

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 IRS Over-the-Phone Interpreter (OPI) Service survey will allow limited-English proficient (LEP) taxpayers to provide feedback on their experience using the IRS OPI Service. It will allow the IRS to understand the taxpayers' experience with the OPI program, which allows the IRS to properly comply with Executive Order 13166.

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).

The OPI Taxpayer Feedback Survey is a generic survey designed to do a pulse check on the OPI program and the taxpayer's experience with this service. The nature of this survey is not to gather sensitive data; however, it does have one optional question at the end asking if the taxpayer would like to participate in future studies, then they can provide their contact information. The only information requested is basic contact information: name, phone number, and email address. This information is stored by the contractor and is not shared with the IRS or any other party. The information will be used by the contractor, should a study be performed, where this information would be of use. The contractor stores the data for the basic retention period (1 year), and then destroyed.

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

Email Address
Language
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.)?

The research method is a survey.

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.

Yes

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

Wage & Investment

1.21 Who will the survey be administered to?

The survey will be administered to limited-English proficient (LEP) taxpayers, who are the IRS Over-the-Phone Interpreter (OPI) users.

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

Yes

1.22 Is this a reoccurring survey?

Yes

1.22 What is the start date?

The anticipated date to start this survey is June 10 for a possible soft launch, and a full launch anticipated on July 1st, depending on when the approval is received and when it can be implemented in the different IRS functions.

1.23 What is the end date?

No end date; it is meant to be a recurring survey.

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.

PII will not be collected on participants who choose not to participate in the survey.

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?

There is no linkable data in this survey. All participants who use the OPI service will be offered the survey.

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

All callers that use the OPI service will be selected for the survey. Those taxpayers that are on telephone systems that can handle a transfer to toll-free line will be transferred to that line. Those who cannot be transferred to a toll-free line will be offered the web version of the survey, either by direct offering while on the call, or by handing out a publication that will contain the URL of the survey as well as a QR code that can provide easy access to the same URL.

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.

This survey is voluntary, and it will be offered at the end of each contact with the IRS employee and the contractor interpreter. Should the taxpayer agree to complete the survey, they will be transferred to an interactive voice response

(IVR) survey (if the taxpayer is on the toll-free lines) or directed to complete an online version of the survey (if the taxpayer's call cannot be transferred to the IVR survey). A publication will be provided to those taxpayers who receive IRS assistance in person, since these cannot be transferred to an IVR line.

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.

The survey will be conducted through an IVR system, or via a website that will be designed to capture the survey responses. The survey does not ask any questions that would require an anonymous feature.

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.

Privacy Act and Paperwork Reduction Act Notice Our authority for requesting information with this survey is 5 U.S.C. Section 301, and 26 U.S.C. Sections 7801, 7803, and 7805. Data collected will be shared with IRS staff, but your responses will be used for research and aggregate reporting purposes only and will not be used for other non-statistical or non-research purposes. The information you provide will be protected as required by law. We estimate it will take 10 minutes to complete this survey. Providing the information is voluntary; not providing all or part of the information requested will have no impact on you but may reduce our ability to address taxpayer concerns regarding taxpayer service. We may not conduct or sponsor, and you are not required to respond to, a collection of information unless it displays a valid OMB control number. The OMB number for this survey is 1545-1432. Send comments regarding this burden estimate for completing the survey or any other aspect of this collection of information, including suggestions for reducing this burden to: IRS, Special Services Section, 1111 Constitution Avenue, NW, Washington, DC 20224.

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?

Our contractor, along with their subcontractor, have been working on IRS surveys for years, and their systems and servers meet the federal government data security requirements, as stipulated on their customer experience contracts that they have with the IRS Taxpayer Services (formerly Wage & Investment) division.

4.23 Where and how is the PII stored and protected?

The contractor only processes sensitive data like PII within their secure remote network hosted within Microsoft’s FedRAMP compliant Azure Government Cloud and maintains compliance outlined in IRS Publication 4812. This network is only accessible by an MFA (or F2A) secured VPN and Windows Virtual Desktops, using remotely managed corporate laptops from within their locked home offices. No data ever leaves their secure network and there are technological and policy-based controls preventing the improper dissemination of sensitive data. Access to PII is strictly protected and access is only granted to those with approved access by using Microsoft security groups. The contractor does not have access to the physical infrastructure that hosts the subcontractor's network, and in accordance with our contract, Microsoft maintains responsibility for maintaining and securing the facilities and the computer/network equipment.

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.

The contractor will use Electronic File Transfer Utilities (EFTU) to send and receive information.

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.

The contractor only processes sensitive data like PII within their secure remote network hosted within Microsoft’s FedRAMP compliant Azure Government Cloud and maintains compliance outlined in IRS Publication 4812. This network is only accessible by an MFA (or F2A) secured VPN and Windows Virtual Desktops, using remotely managed corporate laptops from within their locked home offices - no data ever leaves their secure network and there are technological and policy-based controls preventing the improper dissemination of sensitive data. Access to PII strictly protected and access is only granted to those with approved access by using Microsoft security groups. The contractor does not have access to the physical infrastructure that hosts their network, and in accordance with their contract, Microsoft maintains responsibility for maintaining and securing the facilities and the computer/network equipment.

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, please see attached task order 2032H8-23-F-00179, with referred clauses.

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

Contractor Users - Access level: Read-Only
Contractor Managers - Access level: Read-Only
Contractor Developers - Access level: Read-Only
Contractor Sys. Admin - Access level: Read-Only

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 - Access level: Read-Only - Background investigation complete
Contractor Managers - Access level: Read-Only - Background investigation complete
Contractor Developers - Access level: Read-Only - Background investigation complete
Contractor Sys. Admin - Access level: Read-Only - Background investigation complete

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.

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 contract (BPA).

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

Yes

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 to the IRS office, as only a report will be sent to the IRS containing aggregate data.

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.

No, the survey does not maintain records that describe how an individual exercises their rights guaranteed by the First Amendment.

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

Yes

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.

No, First Amendment information is not being captured or used for this survey.

Interfaces

Interface Type

IRS or Treasury Contractor

Agency Name

XXXXX

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name

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

Describe the IRS use and relevance of this SORN.

The only PII that is collected because of this survey is basic contact information that will not be stored in any IRS server, nor it will be shared with the IRS. It is solely collected for the contractor to have a list of individuals who voluntarily choose to participate in future studies. No other PII will be collected because of this survey.

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.

This SORN applies to individuals who initiate correspondence, such as the action of completing a survey. The IRS will not receive the completed surveys; the data will be sent to a cleared contractor who will consolidate the data and send aggregate reports to the IRS.

SORN Number & Name

IRS 22.062 - Electronic Filing Records

Describe the IRS use and relevance of this SORN.

Individuals who have indicated interest in participating in future marketing programs to provide opinions or suggestions to improve such filing programs, or who otherwise indicate interest in participating in electronic filing programs.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Public Customer Service Records

What is the GRS/RCS Item Number?

GRS 6.5

What type of Records is this for?

Electronic

Please provide a brief description of the chosen GRS or RCS item.

This item covers the responses received as evaluation or feedback about the customer experience for the service rendered.

What is the disposition schedule?

Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

Data Locations

What type of site is this?

System

What is the name of the System?

Microsoft FedRAMP compliant Azure Government Cloud

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System.

It's the contractor's system that is used to process and house the data collected from the survey.

What are the incoming connections to this System?

The system is only accessible via a secured VPN, accessible only by the cleared staff members.