

Date of Approval: 09/27/2024
Questionnaire Number: 1234

Basic Information/Executive Summary

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

FY24 Taxpayer Advocate Service Customer Satisfaction Survey

Business Unit

National Taxpayer Advocate Service

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 Taxpayer Advocate Service organization (TAS) of the Internal Revenue Service (IRS) has been conducting customer satisfaction surveys since calendar year 2001. These surveys gauge the quality and timeliness of services that are delivered to taxpayers and their representatives who have sought TAS assistance. These annual surveys are a component of TAS' organizational performance measurement system, or "balanced performance measures", which also include employee engagement and business results. Through this process TAS has established and maintained an awareness of customer expectations and identified gaps between customer expectations and our organizational performance. Since its inception, this survey has enabled us to improve our service to taxpayers and their representatives. Survey invitations will be mailed via Government Printing Office (GPO) vendor to a sample of taxpayers to take an online survey accessed via hyperlink or QR code. Data collected will help TAS identify the underlying causes of customer dissatisfaction in different types of case work and provide the basis for implementing appropriate organizational changes. The survey will target

areas such as: timeliness, communication, knowledge, fairness, and resolution of issues. The results will support the IRS Mission of providing America's taxpayers top quality service via effective support to TAS employees and managers assisting taxpayers to help them understand and meet their tax responsibilities.

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).

Participants are randomly selected by Taxpayer Advocate Service (TAS) Research and Technical Analysis and Guidance (TAG) staff, applying a random selection formula, MS Excel formula RAND, to an extract of closed cases. Each participant is assigned a unique 8-digit passcode/identifier number (Passcode format FYMMxxxx (FY = Fiscal Year, MM = Case Closed Month, xxxx = counter) that will replace the Taxpayer Advocate Management Information System (TAMIS) case number to be forwarded to the Government Printing Office (GPO) printer so an invitation postcard can be forwarded to the potential respondent (see attachments). Respondents may respond to the survey online using an IRS generated QR code or typed URL. They are prompted to use their unique 8-digit passcode/identifier number to start their own survey. At the end of the survey period and responses analyzed TAS Research and TAG analysts purge (delete) all PII data including the name and mailing address.

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

Address

Name

Other

Please explain the other type(s) of PII that this project uses.

TAMIS Case Number

Passcode

ORG_CD - the organizational (Org) code is a required field and automatically populates based on the Org code of the TAS employee entering the data.

CFN Case File # - assigned to a TAS case after it has been added.

RDATE TAS Rcv Date - the date TAS received the taxpayer's inquiry.

TAR CDATE TAS Cls Date - once a case is closed, this field is systemically populated with the TAS closed date.

Core_Issue_CD1 Core Issue Code 1 - the Primary Core Issue Code (PCIC) is a three-digit code to indicate the most significant issue, policy, or process causing the taxpayer's problem.

Initiator_OD_Function_CD - a two-digit field representing the OD/Function of the initiator for the case.

Initiator_OD_Function_Location_CD - a maximum four-character field representing the location within the OD/Function of the case initiator.

How_Received_CD How Received - used to track how TAS received each case.

Survey_Contact_CD - survey contact code indicates taxpayer (or representative) should not be contacted for the customer satisfaction survey.

Init_Contact_Type_CD Initial Contact Type - documents the method of initial contact: E-mail, face-to-face, letter, N/A, other, phone.

TP_Name - Name of Taxpayer

TP_Business_Name_Line1 - Business name of Taxpayer, line 1

TP_Business_Name_Line2 - Business name of Taxpayer, line 2

TP_Address_Line1 - Taxpayer address, line 1

TP_Address_Line2 - Taxpayer address, line 2

TP_Address_Line3 - Taxpayer address, line 3

TP_Foreign_Address_Line4 - Taxpayer foreign address, line 4

TP_City - Taxpayer City

TP_State - Taxpayer State

TP_Zip - Taxpayer Zip Code

TP_Contact - Taxpayer Contact

TP_Language - Taxpayer Language

Disability_CD - Disability code

Relief_CD - Relief code

Assistance_CD - Assistance code

POA_CAF - No Power of Attorney CAF Number

POA_Designation_Code - Power of Attorney Designation Code

POA_Name - Power of Attorney Name

Fname - Power of Attorney First Name

Lname - Power of Attorney Last Name

POA_Address - Power of Attorney Address

POA_City - Power of Attorney City

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.)?

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.

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.

FY 2023 Taxpayer Advocate Service (TAS) CS Multi-m

1.17 Enter the PCLIA number of the most recent PCLIA.

The previous PCLIA number is 7553.

1.18 What are the reasons for the change?

Prior TAS Customer Satisfaction surveys collected responses by paper or by paper and online - this FY (FY2024) only soliciting for online responses.

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

Taxpayer Advocate Service

1.21 Who will the survey be administered to?

External - Taxpayers (individuals, businesses and valid powers of attorney)

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?

May 2024

1.23 What is the end date?

May 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.

We use PII to contact all potential participants. We do not differentiate between participants and non-participants.

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?

All linkable data used to contact potential participants is listed in the PII section of this PCLIA.

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

Survey participants will be extracted from a random sample of the population of closed cases for each month of the collection period nationwide for the fiscal year.

TAS will administer the survey invitations by mail and receive survey responses online.

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 by postcard. The postcard is printed and mailed by GPO.

The postcard also gives notice that the survey is voluntary.

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.

SAP Business Objects (BOE) - Extract closed case data (to Excel)

MS Excel - Sample Preparation from BOE extract, Initial Analysis of responses, tables and graphs for reporting output.

IBM SPSS - Further Analysis of responses

PKzip - password protect secure files to colleagues and vendors.

Outlook - email (encrypted as appropriate)

Qualtrics - Survey responses. Anonymous feature is selected.

MS Word and Acrobat - Edit final postcard templates / Edit final Reports, tables and graphs.

MS PowerPoint - presentations to managers and executives

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. The information you provide allows the IRS to analyze interactions between the IRS and taxpayers. This information will also help us to improve taxpayer service. 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 that you provide will be protected as required by law. We estimate that it will take 5-10 minutes to complete this survey, including the time for reviewing instructions and completing the collection of information. 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, SE:W:CAR:MP:T:M:SP, Room 6129, 1111 Constitution Avenue, NW, Washington, DC20224.

4.14 Does the IRS administer (conduct) the survey?

Yes

4.15 Provide the name of the IRS office administering the survey.

Taxpayer Advocate Service

4.18 Does the IRS perform analysis of the survey results?

Yes

4.19 Provide the name of the IRS office performing the analysis of the survey.

TAS Research and TAG

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?

According to the contract, the contractor shall comply with all security requirements set forth in these specifications as well as all IRS-specific security requirements as specified in Attachment 1. NOTE: All furnished data is designated as "Sensitive But Unclassified" (SBU) and contains "Personally Identifiable Information" (PII). Contractor shall comply with moderate risk controls of National Institute of Standards and Technology (NIST) SP 800-53, Recommended Security Controls for Federal Information Systems and Organizations, Revision 5.

4.23 Where and how is the PII stored and protected?

For the contractor, received government files are stored on a Windows file server that has been appropriately provisioned and hardened. All customer data is stored on BitLocker encrypted servers utilizing AES-256. All servers are located within NPC's secure data center. Only full time IT staff who have appropriate background clearances are permitted access. Access to the data center is restricted via access card + PIN.

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.

Government will furnish electronic media (see below) for future surveys when required, to be furnished as follows: Platform: Microsoft Windows (current or near current version). Storage Media: Email; Secure File Transfer Protocol (SFTP). The data files for the mailing addresses will be furnished to the contractor via contractor's hosted SFTP. Software: Static Matter: Adobe Acrobat (current or near current version); Variable Data: Microsoft Excel, SecureZip™ (current or near-current versions will be used for Microsoft Excel and SecureZip™).

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.

Received government files are stored on a Windows file server that has been appropriately provisioned and hardened. All customer data is stored on BitLocker encrypted servers utilizing AES-256. All servers are located within NPC's secure data center. Only full time IT staff who have appropriate background clearances are permitted access. Access to the data center is restricted via access card + PIN. All waste that includes sensitive personally identifiable information (PII) will be permanently destroyed using an industrial shredder. All shredding will occur within the facility in which it was originally produced, by NPC employees who have the appropriate clearance.

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?

There is a signed Confidentiality and Nondisclosure Agreement between NPC, Inc., a Pennsylvania Corporation ("NPC"), and IRS. It is NPC standard hiring procedure to have all employees read and sign an Oath of Non-Disclosure and a HIPAA (Health Insurance Portability and Accountability Act) Privacy Agreement (See attachments A and B). All employees, once hired, go through a rigorous orientation program that includes training in the confidentiality of customer's data.

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

The availability of identifying information is limited to TAS Research employees and one Technical Analysis and Guidance (TAG) employee and is not shared with other personnel, including managers. After survey validation is completed, all Personal Identifiable Information (PII) records are deleted from the respective laptops. Once aggregated data/reports are sent to management, then any identifying data is destroyed from the analyst's laptops. The data and the responses to questions will only be used for this 2024 project.

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 availability of identifying information is limited to TAS Research employees and one Technical Analysis and Guidance (TAG) employee and is not shared with other personnel, including managers. After survey validation is completed, all PII records are deleted from the respective laptops.

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

Government Printing Contractor: NPC, Inc. Background Investigation Done -
NPC is sent via SecureZip Names, Addresses and Unique ID of participants. -
NPC prints and mails postcards to participants.

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.

The availability of identifying information is limited to TAS Research employees and one Technical Analysis and Guidance (TAG) employee and is not shared with other personnel, including managers. Responses are analyzed (Excel, SPSS) and

reported as aggregated scores. After survey validation is completed, all PII records are deleted from the respective laptops.

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 First Amendment information is collected.

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.

No First Amendment information is used.

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Qualtrics

Incoming/Outgoing

Both

Transfer Method

Other

Other Transfer Method

Survey participants take the survey in Qualtrics, which then sends results to our Shared Drive.

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.

TAS will collect, analyze, and interpret information gathered to identify strengths and weaknesses of current services and make recommendations to improve or maintain the quality of service offered to the public. The solicitation of information will target

areas such as: timeliness, communication, knowledge, fairness and resolution of issues.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

GENERAL RECORDS SCHEDULE 6.5: Public Customer Service Records

What is the GRS/RCS Item Number?

010

What type of Records is this for?

Both (Paper and Electronic)

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

Public customer service operations records. 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. Includes: ...complaints and commendation records; customer feedback and satisfaction surveys, including survey instruments, data, background materials, and reports.

What is the disposition schedule?

Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. Disposition Authority DAA-GRS-2017-0002-0001

Data Locations

What type of site is this?

Teams Collection

What is the name of the Teams Collection?

FY 2024 Customer Satisfaction Survey

What is the sensitivity of the Teams Collection?

Personally Identifiable Information (PII) including Linkable Data

What is the URL of the item, if applicable?

<https://irsgov.sharepoint.com/:f:/r/sites/TM-TAS-ResearchAnalysis/Shared%20Documents/General/FY2024/Customer%20Satisfaction%20Survey?csf=1&web=1&e=JXu1Cd>

Please provide a brief description of the Teams Collection.

TAS Research Secure Server with limited access to select Research and TAG Analysts. These positions are subject to all the restrictions and requirements applicable to IRS employees handling Personal Identifiable Information (PII) on behalf of the IRS.

What are the incoming connections to this Teams Collection?

All survey PII data will be maintained on laptop computers which include all the current and required IRS protection software. All data is transferred per the instructions in IRM 1.10.3.2.1, Secure Messaging and Encryption, 10.8.1.4.17.2.2, Electronic Mail Security, and 11.3.1.14.2, Electronic Mail and Secure Messaging. Data is transferred using IT-approved technology. This includes secure e-mail via Outlook and for attachments, using SecureZip. After survey validation is completed, all PII records are deleted from the respective laptops.

What are the outgoing connections from this Teams Collection?

All survey PII data will be maintained on laptop computers which include all the current and required IRS protection software. All data is transferred per the instructions in IRM 1.10.3.2.1, Secure Messaging and Encryption, 10.8.1.4.17.2.2, Electronic Mail Security, and 11.3.1.14.2, Electronic Mail and Secure Messaging. Data is transferred using IT-approved technology. This includes secure e-mail via Outlook and for attachments, using SecureZip. After survey validation is completed, all PII records are deleted from the respective laptops.