

Date of Approval: 05/13/2024  
Questionnaire Number: 1242

## Basic Information/Executive Summary

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

2024 CEEN Survey

Business Unit

Small Business and Self Employed

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 Small Business/Self Employed (SB/SE) organization conducts a variety of customer satisfaction surveys to obtain satisfaction ratings and taxpayer feedback on various aspects of the taxpayer's experience; all the current SB/SE surveys occur after an interaction with the IRS such as closure of an exam or collection action. This Survey, the Customer Experience, Expectations, and Needs Survey (CEEN) goes beyond the existing surveys by including SB/SE taxpayer who may or may not have had previous contact with the IRS. By measuring the tax experience of all SB/SE taxpayers, the survey will capture a large segment of the population that existing surveys miss. Completing this survey is an industry best practice and is important for understanding customer experience, expectations and needs when looking to make operational improvements. Additional research on the subject indicates improved customer experience can lead to improved compliance. The results of this survey will be used to identify ways to improve SB/SE customer experience and increase voluntary compliance.

# 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).

Sensitive data is provided from contractor to IRS, transmitted electronically through IRS transfer method. If/when encrypted, password is provided by separate contact method than the data file. Data is stored on internal servers of IRS. Contractor houses data internal to them only with read-only, moderate level access.

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

Address

Biometric Information

Email Address

Federal Tax Information (FTI)

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.

Yes

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

SBSE

1.21 Who will the survey be administered to?

Respondents will be selected from the National Research Opinion Center's (NORC) AmeriSpeak Panel. The AmeriSpeak panel is a probability-based panel that represents the U.S. household population, from which eligible small business and self-employed taxpayers will be surveyed.

1.22 What is the start date?

06/12/2024

1.22 Is this a reoccurring survey?

No

1.23 What is the end date?

08/21/2024

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.

None collected for those who do not participate.

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?

Third party contractor will collect data such as address, name, email, phone, tax filing information, marital status, language used or preferred, employment status and years of employment. Respondents will be selected from the National Research Opinion Center's (NORC) AmeriSpeak Panel. The AmeriSpeak panel is a probability-based panel that represents the U.S. household population, from which eligible small business and self-employed taxpayers will be surveyed.

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

The contractor will include the entire NORC AmeriSpeak Panel for the selection of the probability sample of small business owners and self-employed taxpayers. This selection will be supplemented by sampling from non-probability sample sources to obtain the requested Spanish-speaking completes. The contractor shall develop and execute a sampling plan that is acceptable to the IRS. The sampling plan will represent the entire US SB/SE customer base. The contractor will ensure persons without internet access are represented in the sample. The survey target is approximately 4,000 completes, including a Spanish Limited English Proficient (LEP) sample of 400-500.

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.

Email, letter. The survey is voluntary, and the participant is notified prior to survey taken.

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.

Web-based survey is administered by NORC, it is not a web app or "tool" other administration method, telephone.

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

Yes

3.13 Provide the consent method and statement.

For CATI, the interviewer states, "As always, for quality assurance purposes, this call may be recorded or monitored." For Web Survey, "Thank you for agreeing to participate in our new AmeriSpeak survey! This survey is completely voluntary and is designed to understand your experiences and expectations on financial topics including payments, taxes, and record keeping. It should take 20-25 minutes to complete. To thank you for sharing your opinions, we will give you a reward of [X] AmeriPoints after completing the survey. As always, your answers are confidential."

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 Privacy Act System of Records entitled. Treasury/IRS 00.0001 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?

ICF Macro works with NORC for survey administration. The NORC security program is based on the NIST 800-53 Rev 4 framework. NORC has a documented System Security Plan (SSP) at the moderate level which details compliance with each NIST control.

Listed below is how NORC implements some of the high-level security measures and controls:

- Patch management policy – NORC uses automated patch management system to distribute security updates to servers and workstations. Vulnerability reports are run regularly to identify and missing security updates and new vulnerabilities.
- Malware prevention / Virus Scanning policy – NORC uses a centrally managed McAfee anti-virus/anti-malware software on all servers and workstations. Updates are pushed automatically to machines.
- Audit policy – NORC reviews their policies and security controls at least annually. Issues are tracked as POAM items.
- Audit and Accountability policy – All NORC system logs are collected in a centralized Security Information and Event Management (SIEM) tool. Logs are continuously monitored for errors and threats. Alerts and reports are generated for support staff.
- Incident response / security breach notification policy - NORC has a documented Incident Response plan. NORC monitors their systems with different tools to detect security incidents.
- User certification, identification and authentication policy - NORC User Access control is managed by Microsoft Active Directory. User access is granted on the “Least Privilege” basis. Access must be approved by the system owner before access is granted. Administrators are provided a separate administrator account to perform all administrative duties. Account activity is monitored. Accounts inactive for 60 days are automatically disabled.
- Password policy - NORC has two password policies. Regular users must have eight characters complex password and must be changed every 90 days. Administrative accounts must have a fifteen-character complex password and changed every 60 days.

- Account Management policy – All NORC accounts are managed through Microsoft Active Directory. Accounts are audited on a regular basis. Accounts inactive for 60 days are automatically disabled. HR provides IT a list of employees who have left the company twice a week. Accounts are terminated immediately for hostile terminations.
- Physical and environmental security policy - NORC datacenter is in a colocation data center managed by Zayo. The datacenter is only accessible to approved NORC personnel. Zayo provides fault tolerant redundant environmental controls, electric power and Internet service.
- Firewall, IDS, and encryption policy – NORC uses Palo Alto firewalls to separate all NORC systems from the Internet. The Palo Alto have built-in intrusion detection and prevention. All firewall logs are sent to our central log management system for monitoring. NORC uses FIPS 140-2 encryption standard for their encryption policy.
- Contingency Plans - NORC has a documented contingency plan. It is tested at least annually.

#### 4.23 Where and how is the PII stored and protected?

Sensitive IRS data resides on a secure server and the contractor uses the appropriate encryption to secure the data. The encryption method will be disk, director 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 the projects, and it is protected inside of ICF's Login Protected Network. That can only be accessed by the contractor's 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.

Data is transferred through electronic method from contractor to IRS. PII such as name, address, telephone or email are not transferred to IRS. IRS does not send information to the contractor.

#### 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.

Sensitive IRS data resides on a secure server and the contractor uses the appropriate encryption to secure the data. The encryption method will be disk, director 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 the projects, and it is protected inside of ICF's Login Protected Network. That can only be accessed by the contractor's authorized personnel.

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 has - User, Manager, Developer and System Administrator - read only, moderate access level

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

Contractor conducts internal background checks. Contractor has - User, Manager, Developer and System Administrator - read only, moderate access 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.

Contractor does not transmit PII to IRS.

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.

Contractor does not transmit PII data.

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

Yes

## Interfaces

### Interface Type

IRS or Treasury Contractor

### Agency Name

ICF Macro Inc

### 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.

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 00.003 - Taxpayer Advocate Service and Customer Feedback and Survey Records

Describe the IRS use and relevance of this SORN.

To improve quality of service for small business/self-employed taxpayers, to analyze trends and to take corrective action to improve IRS service

# Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

6.5

What is the GRS/RCS Item Number?

010

What type of Records is this for?

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?

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

# Data Locations

What type of site is this?

Shared Drive



What is the name of the Shared Drive?

Laguna Server, Team 4 Shared Drive

What is the sensitivity of the Shared Drive?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the Shared Drive.

IRS provided, Team 4 Shared Drive