

Date of Approval: 07/03/2024
Questionnaire Number: 1365

Basic Information/Executive Summary

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

TSO Taxpayer Interviews

Business Unit

Transformation and Strategy Office

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.

To better serve its Taxpayers, the Transformation and Strategy Office (TSO) and the Taxpayer Experience Office (TXO) have teamed together to conduct additional research on the IRS Call Centers to further identify potential opportunities for improvement and modernization. In September 2023, the TSO conducted 40 focus groups consisting of CSRs, Leads and Managers across 10 Call Center campuses to research the employee experience. To create a holistic view of IRS Call Centers the TSO and TXO would like to continue this research by conducting interviews with Taxpayers who have called an IRS Call Center in the last 90 days. These conversations will help document their experience and identify potential areas for modernization and improvement. The insights gleaned from these interviews will similarly inform any recommendations the IRS can potentially make to improve and modernize the experience of Taxpayers who call an IRS Call Center.

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).

A random selection of 2,500 taxpayers who recently called into the IRS Call Center will be contacted via their full name and address as it is on record with their taxpayer ID. Taxpayers who opt into the interviews will do so via an online survey where they provide their first name and e-mail address. Data collected during the taxpayer interviews will not be attributed back to their identifying information. After completion of the interviews, all taxpayer PII gathered for scheduling the interviews will be deleted.

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

Address

Email Address

Name

Tax ID Number

Telephone Numbers

Product Information (Questions)

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

Yes

1.12 What is the IRA Initiative Number?

IRA Initiative 1.1 - Live Assistance: When taxpayers call the IRS, they can reach an agent in a timely manner and have high levels of satisfaction with the interaction.

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.

Yes

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

Transformation & Strategy Office (TSO)

1.21 Who will the survey be administered to?

Taxpayers who have called the IRS recently and opt into being interviewed.

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

Yes

1.22 What is the start date?

07/22/2024

1.22 Is this a reoccurring survey?

Yes

1.23 What is the end date?

07/21/2027

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.

Taxpayer names and addresses are collected to send invitation letters out to.

Those names and addresses will be discarded once letters are sent. If an individual chooses not to participate, no further PII will be collected for them.

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

To better understand the most complex/common issues of Taxpayers calling IRS Call Centers, the TSO and TXO have established criteria we will utilize to guide our research. The first set of criteria will inform the selection of potential interviewees:

Taxpayers who have called an IRS Call Center in the last 90 days

The next set of criteria will help us identify the specific call types we wish to research. We will utilize Application Management Services (AMS) data to identify call types with the:

Highest call volume

Longest call duration

Lowest first contact resolution/most repeat callers

The team will then connect the AMS data back to the applications and pull a sample of 2,400 unique Taxpayer Identification Numbers who meet the above criteria. This sample should provide insight into which customer journeys are the hardest to navigate for Taxpayers and assisters alike.

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 will be invited to participate in the interviews via a mailed letter. They voluntarily choose to participate by scanning a QR code or going to a website provided in the letter and filling out an online survey.

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.

Qualtrics will be used for the survey participants fill out to opt in to the interviews. Participants will then have an option to use Zoom, Microsoft Teams, or a telephone to participate in the interview.

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

Yes

3.13 Provide the consent method and statement.

Taxpayers must agree to their session being audio recorded when they complete the survey to opt in to the interviews. In addition, the moderator will read that by agreeing to the interview, they are agreeing to audio recording at the beginning of the interview.

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.

Our legal authority to collect PII for federal tax administration- generally derives from IRC 6001, 6011, or 6012. We are requesting this information to improve our service to you and overall customer experience. The information you provide allows the IRS to analyze the experience taxpayers have when calling the IRS Call Center. taxpayer burden in tax administration. This information is also used to fulfil the IRS' statutory obligations to the Office of Management and Budget

and Congress for information required by the Paperwork Reduction Act. The System of Records Notice number is IRS 00.001 - Correspondence Files and Correspondence Control Files. This information will also help us to better understand taxpayer needs and burden reduction opportunities. Your responses are voluntary. Not answering all or part of the questions will not affect you except we will not have the benefit of your input to improve our service to 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?

PII will not be saved, shared, or sent outside of the contracting team. The contracting team will only store PII on the secure IRS SharePoint sites or on their desktop and will discard any PII that is no longer necessary for the research.

4.23 Where and how is the PII stored and protected?

Any PII will be maintained on an IRS laptop and will be discarded once the interviews are complete. PII will be maintained through Microsoft Office files saved to the secure SharePoint or on the laptop desktop.

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.

PII will not be transferred from IRS provided laptops. PII will be received on IRS laptops and then discarded when they are no longer in use. The contractors will not have access to any PII outside of IRS laptops.

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.

PII will not be stored on contractor laptops, only on IRS provided laptops.

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

The team is comprised of 4 contractors who have interim-staff like access and 1 contractor who has full staff-like access. The contracting team will have access to participant first names and emails. Only 1 contractor will have access to taxpayer full names and addresses.

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

The contracting team is comprised of Deloitte personnel that have received either interim staff-like access or full staff-like access.

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 Deloitte team will be maintaining the survey results and will only use them for the purpose of creating an anonymous user experience report.

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 Deloitte team will keep and maintain any unaggregated taxpayer data and will only share the anonymous report outs from the data. No employee data will be included.

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

Yes

Interfaces

Interface Type

Forms

Agency Name

Qualtrics

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

Qualtrics collects survey data from the Taxpayer (first name and email address)

Systems of Records Notices (SORNs)

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.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

General Records Schedule 6.5: Public Customer Service Records

What is the GRS/RCS Item Number?

010 Public customer service operations records

What type of Records is this for?

Electronic

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

Evaluations and feedback about customer services

What is the disposition schedule?

This schedule covers records an agency creates or receives while providing customer service to the public. Federal agencies that provide direct services to the public operate customer call centers or service centers to assist external customers. They may provide customer support through telephone discussions (toll free numbers), dialogue (via chat), and email.

Data Locations

What type of site is this?

Shared Drive

What is the name of the Shared Drive?

Microsoft Teams

What is the sensitivity of the Shared Drive?

Personally Identifiable Information (PII) including Linkable Data

What is the URL of the item, if applicable?

<https://teams.microsoft.com/l/channel/19%3Aed7a67ea80ac421d9200756e06670832%40thread.tacv2/Call%20Center%20Modernization?groupId=a9d85593-6d55-4a86-845b->

4da0e04e771c&tenantId=f2372b85-8802-490c-b196-7b96c73fee3b&ngc=true

Please provide a brief description of the Shared Drive.

The shared drive will be used to track taxpayer names and email address to allow for interview scheduling as well as transcripts of the audio recordings of the interviews that have been redacted to make anonymous.

What are the incoming connections to this Shared Drive?

Members of the Deloitte contracting team that have an IRS laptop, and email will have access to the shared site.