Date of Approval: 12/13/2024
Questionnaire Number: 1815

Basic Information/Executive Summary

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

Direct File Customer Experience Survey

Business Unit

National Headquarters

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 Direct File Customer Experience Survey will help fulfill the Inflation Reduction Act (IRA) requirement to design systems informed by "taxpayer opinions, expectations, and level of trust." The survey will provide insights about taxpayers' behaviors, attitudes, and needs. The results of this survey will enable the IRS to gain insights into what is and isn't working well and to make continuous changes to improve taxpayer experiences. The online survey is being conducted by the IRS Direct File research team, which includes staff from IRS Direct File, US Digital Service, and Coforma. The survey will be implemented by Medallia contractor using the Medallia survey tool. The survey will be with external individual taxpayers who have experience using Direct File. For users who complete their filing with Direct File, there will be a button on the submission confirmation page inviting them to provide feedback. If they click, they will be able to open the survey and give feedback voluntarily. For users who opt into receiving a survey by email and do not finish their filing with Direct File, IRS Direct File team will email them a link to the survey after the end of filing

season. Information collected in the survey includes email, phone number, income, previous year's tax filing method, education level, zip code, device type used to access survey. Only the Direct File research team and Medallia staff working on the project will have access to the raw data, which will be stored on Medallia's secure servers.

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).
> Data that a user has opted into receiving an email survey will be stored in Direct File's secure application database. Opt-in data will only be viewed by Direct File team members who will send out the non-completion survey via email. Survey data will be collected via Medallia. Collected data will be stored in encrypted files on Medallia servers. Data will only be viewed by members of the research analysis team with a need to know. All data will be destroyed in accordance with IRS destruction guidelines.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.
> Biometric Information
> Education Information
> Email Address
> Federal Tax Information (FTI)
> Geographical Indicators
> Internet Protocol Address (IP Address)
> Language
> Other
> Telephone Numbers

Please explain the other type(s) of PII that this project uses.
> Income, device type

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).
> PII for personnel administration - 5 USC

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?
  1.5

1.13 What is your research method(s) used (i.e., survey, telephone interview, focus group, etc.)?
  Survey, telephone interview, virtual meeting interview

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?
  National Headquarters - Direct File

1.21 Who will the survey be administered to?
  Individual taxpayers

1.22 What is the start date?
  1/1/2025

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

1.22 Is this a reoccurring survey?
  Yes

1.23 What is the end date?
  Ongoing survey with no end date

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.
  Email, phone number

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?

> Email, phone number, income, previous year's tax filing method, education level, zip code, device type used to access survey

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

> Completion survey - Users who submit their return with Direct File will see a button inviting them to take a survey. If the user clicks the button, the survey will open. Non-completion survey - Users who opt into receiving a survey by email and who do not file by end of filing season will receive a survey by email. If the user clicks the link to the survey, the survey will open. Respondents who opt to provide their email or phone number to provide additional feedback will be contacted by the research team for open-ended interviews.

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.

> For the completion survey, participants are notified via text on the screen of the survey availability. For the non-completion survey, participants are notified via email about the survey. The survey is voluntary and for both surveys, a statement will appear at the beginning of survey: The authority requesting this information is 5 United States Code 301. The primary purpose of asking for the information is to determine steps the IRS can take to improve our services to you. 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. Providing the information is voluntary. Not answering some or all the questions will not affect you.

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.

> Medallia; 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.
>
> The authority requesting this information is 5 United States Code 301. The primary purpose of asking for the information is to determine steps the IRS can take to improve our services to you. 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. 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

4.18 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.
>
> Direct File

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?
>
> All project information is stored on secure servers. Researchers performing analysis will have access to the raw data, but no raw data will be shared in reports to the requesting business unit.

4.23 Where and how is the PII stored and protected?
>
> Medallia stores information on secure servers with access provided only to select staff working on the project.

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.
>
> IRS and contractors will use secure email and password protect or encrypt emails.

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.

> Contractors store information on secure servers with access provided only to select staff working on the project. Medallia provides Direct File researchers and Medallia administrators access to the survey PII via the Medallia dashboard. A unique username and password is required by each person to access the dashboard. The dashboard is hosted on Medallia secure servers and will be accessed by Direct File researchers and Medallia, before, during and after the survey.

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.

> Direct File researchers will have read only access to PII. Medallia contractors will have read-write access to the secure server where PII is stored.

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.

> Survey results will not be used for any other purpose besides helping the research and analytics team improve Direct File. Survey results raw data will only be seen and managed by the Direct File and Medallia research and data analysis team with a need to know. PII raw data will not be shared with the requesting business unit. All reporting to business unit and stakeholders will have aggregate information and no respondents will be identified by PII.

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

> Medallia contractors have administrator access to data. Coforma contractors part of the Direct File research team will have read only access to data for analysis. Background investigations are complete for contractors.

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.

> Survey results raw data will only be seen and managed by the Direct File and Medallia research and data analysis team with a need to know. PII raw data will

not be shared with the requesting business unit. All reporting to business unit and stakeholders will have aggregate, de-identified information with no respondents identified by PII.

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
Medallia
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type
IRS Systems, file, or database
Agency Name
Direct File PostgreSQL database
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

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.

SORN Number & Name
IRS 10.004 - Stakeholder Relationship Management and Subject Files
Describe the IRS use and relevance of this SORN.
Survey will have stakeholder information.

Records Retention

What is the Record Schedule System?
> General Record Schedule (GRS)

What is the retention series title?
> 6.5 - Public Customer Service Records

What is the GRS/RCS Item Number?
> 10

What type of Records is this for?
> Electronic

Please provide a brief description of the chosen GRS or RCS item.
> Public Service Operations Records

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?
> Environment

What is the name of the Environment?
> Medallia

What is the sensitivity of the Environment?
> Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the Environment.
> Survey response data will be stored on encrypted Medallia servers.

What are the incoming connections to this Environment?
> Responses on online surveys will be collected and stored in
> Medallia.

What type of site is this?
> Environment

What is the name of the Environment?
> PostgreSQL database

What is the sensitivity of the Environment?
> Federal Tax Information (FTI)

Please provide a brief description of the Environment.
> Data collected via Direct File application is stored in the database.

What are the incoming connections to this Environment?
> Direct File web application https user responses.