

Date of Approval: 02/28/2025
Questionnaire Number: 1822

Basic Information/Executive Summary

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

Where's My Refund (WMR) / Where's My Amended Return (WMAR) Voicebot
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.

Taxpayer Services' Where's My Refund (WMR) / Where's My Amended Return (WMAR) Voicebot Customer Satisfaction Survey is conducted as part of the IRS Taxpayer Services-wide initiative to monitor and improve taxpayer experience with the WMR/WMAR Voicebots. Customer Contact Service (CCS) will work with the vendor to facilitate the survey administration and analysis. Callers who utilize the WMR/WMAR Voicebot call lines are the targeted participant of the WMR/WMAR Survey. Users are automatically eligible to participate and selected upon acceptance of the offer. The results will be used to ensure that the WMR/WMAR Voicebots are meeting the needs of the taxpayers, feedback from

external customer satisfaction surveys is critical for assessing the customer's perception of our products and services. The primary purpose for requesting this information is to help the IRS improve its service to taxpayers. Our authority for requesting the information is 5 USC and 26 USC 7801. The survey results are stored with the vendor and are distributed via the vendor's reporting platform Power BI. Data is not transferred; limited IRS employees will have access to the aggregated data and will be permissioned based on their role in the project.

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).

PII is used for participant selection and notification of the Where's My Refund (WMR) / Where's My Amended Return (WMAR) Voice Bot Customer Satisfaction Survey. The only elements captured and passed from the event is the Automated Number Identification (ANI) or the phone number the user called in from. There is no way to associate the response to the individual.

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

Address

Federal Tax Information (FTI)

Internet Protocol Address (IP Address)

Name

Other

Telephone Numbers

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

Refund amount, Filing status, Date of Birth (DOB), Zip code, Social Security Number (SSN) are used to authenticate the caller for WMR and/or WMAR and subsequent notice and selection of participants.

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

SSN for tax returns and return information - IRC section 6109

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?

1.1; 1.4; 1.6

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

Survey (via voicebot/phone)

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

1.15 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this survey?

No

1.18 What are the reasons for the change?

Adding additional questions to gather taxpayer experience and improve on services rendered.

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

TS-Accounts Management

1.21 Who will the survey be administered to?

Callers who utilize the WMR/WMAR voicebot (call lines) are the targeted audience.

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

Yes

1.22 What is the start date?

March 31, 2025

1.22 Is this a reoccurring survey?

Yes

1.23 What is the end date?

April 1, 2028

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.

N/A

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?

In the selection process and to allow the user to take the survey, an ANI - Automated Number Identification (phone number) is captured. No PII other than this data is used in the survey administration process. Although the elements exist in the vendor's production logs the callers' ANI is not used in the post survey activities (aggregated reports). The raw data is saved by the vendor and there is no way to associate the response to this data. The aggregated reports will not contain PII.

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

Callers who utilize the WMR/WMAR voicebot call lines are the targeted participant of the WMR/WMAR Survey. Users are automatically eligible to participate and selected upon acceptance of the offer. Currently, the survey is being offered to 100% of the callers serviced through the WMR/WMAR voice Bot. Once the baseline is established, the selection percentage will be reduced. The criteria and method for offering the survey should be defined; see items in red on the report of findings that was sent via email and uploaded in the Attachments section.

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.

The voicebot will say, "If you would like to help improve IRS service by taking a quick survey, say survey." Privacy Act (PA) and Paperwork Reduction Act (PRA) Notice (PAPRAN): This survey is approved by the Office of Management and Budget under OMB Control Number 1545-1432. If you'd like to hear the full Privacy Act/Paperwork Reduction Act Notice or the web address to view the notice in its entirety, say 'Privacy' or press 1, to continue to the survey, say 'Survey', or press 2 at any time to continue to the survey. XXXXX To view the notice in its entirety, visit irs.gov/privacy-disclosure/IRS-surveys. XXXXX The purpose of the information we are requesting is to help us determine ways to improve our service to taxpayers and practitioners. The authority for us to collect opinions/feedback is 5 U.S.C. 301 and 26 U.S.C. 7801. We may disclose this information consistent with any routine uses as described in the System of Records Notice, Treasury/IRS, 00.001, Correspondence Files and Correspondence Control File (80 FR 54063). Providing the information is voluntary; not answering some or all of the questions will have no effect on you. The information collected will be used by the Internal Revenue Service to gather data to improve our products and services. Providing this information is voluntary. We are required to inform you that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB. The valid OMB control number for this information collection is 1545-1432. The survey should take less than 3 minutes. There are no assurances of confidentiality, but the survey responses are anonymous and not attributed to a particular taxpayer. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Internal Revenue Service, Special Services Committee, SE:W:CAR:MP:T:M:S - Room 6129, 1111 Constitution Avenue, NW, Washington, DC 20224. XXXXX

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.

Voice Studio / Mix (vendor owned Interactive Voice Response (IVR) platform).
The voice Bot offers and then conducts the survey within the same vendor system; after the user's session ends.

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 (PA) and Paperwork Reduction Act (PRA) Notice (PAPRAN): This survey is approved by the Office of Management and Budget under OMB Control Number 1545-1432. If you'd like to hear the full Privacy Act/Paperwork Reduction Act Notice or the web address to view the notice in its entirety, say 'Privacy' or press 1, to continue to the survey, say 'Survey', or press 2 at any time to continue to the survey. XXXXX To view the notice in its entirety, visit irs.gov/privacy-disclosure/IRS-surveys. XXXXX The purpose of the information we are requesting is to help us determine ways to improve our service to taxpayers and practitioners. The authority for us to collect opinions/feedback is 5 U.S.C. 301 and 26 U.S.C. 7801. We may disclose this information consistent with any routine uses as described in the System of Records Notice, Treasury/IRS, 00.001, Correspondence Files and Correspondence Control File (80 FR 54063). Providing the information is voluntary; not answering some or all of the questions will have no effect on you. The information collected will be used by the Internal Revenue Service to gather data to improve our products and services. Providing this information is voluntary. We are required to inform you that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB. The valid OMB control number for this information collection is 1545-1432. The survey should take less than 3 minutes. There are no assurances of confidentiality, but the survey responses are anonymous and not attributed to a particular taxpayer. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Internal Revenue Service, Special Services Committee, SE:W:CAR:MP:T:M:S - Room 6129, 1111 Constitution Avenue, NW, Washington, DC 20224. XXXXX

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.

Accounts Management (AM) and Joint Operations Center (JOC) are the primary users that will perform analysis of the survey.

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?

There is no PII being requested in the survey. All IVR logs are stored within a Verizon-owned Azure Government Community Cloud (GCC) tenant that is FedRAMP certified. PII is not transferred. The only elements captured from the event is the Automated Number Identification (ANI) or the phone number the user called in from. There is no way to associate the response to the individual.

4.23 Where and how is the PII stored and protected?

There is no PII being requested in the survey. All IVR logs are stored within a Verizon-owned Azure Government Community Cloud (GCC) tenant that is FedRAMP certified.

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.

Secure File Transfer Protocol (SFTP) is the mechanism used for the data transfer. SecChM-24-05-4068 and FCR20240524-005922 approved the use of SFTP. The SFTP connection uses the existing vendor to IRS Virtual Private Network (VPN) connection (SecChM-23-06-3279, FCR20230918-004366). Secure File Transfer Protocol (SFTP) is the mechanism used for the data transfer. SecChM-24-05-4068 and FCR20240524-005922 approved the use of SFTP. The SFTP connection uses the existing vendor to IRS Virtual Private Network (VPN) connection (SecChM-23-06-3279, FCR20230918-004366).

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.

There is no PII being requested in the survey. IVR logs are never stored locally on contractor computers, data is only accessed by IRS-cleared resources through the FedRAMP certified Azure portal.

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.

Every member of the vendor team for the IRS account has been cleared with a Tier II background investigation. Raw dialog logs are currently being sent from vendor to IRS at IRS's request. The survey information is gathered and/or stored by the vendor; only they can view the raw response; survey results are reported back to the requestors of the Survey in aggregated form with no PII and no association to the individual. The minimal sample size is unknown at this point. A baseline will be set, and the percentage of users will be reduced, approximating 20-30% of users). Only the administrator of the Survey and limited project members will have access to the raw data and the stored aggregated reports. The administrator is not a member of the Business Unit that is requesting the information. The administrator will withhold information that identifies a taxpayer or employee; the raw data will not be sent or displayed to the Business Unit and all stored data will be stored with SBU/PII redacted on the vendor's secure server as per Publication 4812 and indicated in the Records section of this PCLIA.

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.

No PII is requested during the survey; inside vendor Power BI reporting where survey results would be analyzed, survey results are aggregated and not tied to specific call data. Only the administrator will have access to the stored PII for the purpose of issue resolution.

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

Every member of the vendor team for the IRS account has been cleared with a Tier II background investigation; all roles have the same access level and as stated in 4.25, there is no PII being requested in the survey. (PII data is masked in the application; data is only available for the application to use during runtime but is masked in the logs and no audio is captured.) Current Roles: Project Manager, Tech Lead, Developer, User Interface, Quality Assurance, Speech Scientist, Audio Engineer, Tagger, Transcriber.

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.

Only vendor and IRS system administrator of the Survey has access to the raw data. The system administrators are not a member of the BU that is requesting the information. Raw dialog logs are currently being sent from vendor to IRS at IRS's request. The survey information gathered and/or stored by the vendor; only they can view the raw response; survey results are reported back to the requestors of the Survey in aggregated form with no PII and no association to the individual. The minimal sample size is unknown at this point. A baseline will be set, and the percentage of users will be reduced, approximating 20-30% of users. Only the administrator of the Survey and limited project members will have access to the raw data and the stored aggregated reports. The administrator is not a member of the Business Unit that is requesting the information. The administrator will withhold information that identifies a taxpayer or employee; the raw data will not be sent or displayed to the Business Unit and all stored data will be stored with SBU/PII redacted on the vendor's secure server as per Publication 4812 and indicated in the Records section of this PCLIA.

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.

The PII factors declared in this PCLIA enables the caller, once they are authenticated, to continue their voice BOT session and be offered the survey. This information is not retrieved to invoke the survey but is considered known or a shared secret that authenticates and allows the user to continue the session. Therefore, no First Amendment PII/SBU information is gathered for the purpose of this survey.

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.

First Amendment information is not gathered during this survey; therefore, no adverse actions/determination affecting an individual's rights apply.

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Power BI

Incoming/Outgoing

Incoming (Receiving)

Agency Agreement

No

Transfer Method

Application to Application (A2A)

Interface Type

IRS or Treasury Contractor

Agency Name

Vendor

Incoming/Outgoing

Incoming (Receiving)

Agency Agreement

No

Transfer Method

Secure File Transfer Protocol (SFTP)

Interface Type

IRS Systems, file, or database

Agency Name

Business Web App Services (BWAS) - (WMR/WMAR Voicebot)

Incoming/Outgoing

Incoming (Receiving)

Agency Agreement

No

Transfer Method

Other

Other Transfer Method

Data transfer occurs over VPN between vendor FedRamp High Data Centers XXXXX XX X XXXXXXXX XX XX XXX XXXXXXX XXX X XXXXXXXXXXXX XXX.

Interface Type

IRS Systems, file, or database

Agency Name

API Call

Incoming/Outgoing

Incoming (Receiving)

Agency Agreement

No

Transfer Method

Other

Other Transfer Method

Sensitive data (i.e., Taxpayer Identification Number (TIN), DOB) sources from caller (telephony) to vendor Digital Contact Center Platform (DCCP) that makes API call (validate caller information (telephony)) to IRS Backend) - get request.

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.

The SORN and its routine uses are declared for the purpose of tracking correspondence including responses from voluntary surveys. The collection of evaluations and feedback about help desk services performed prior to participants being offered or providing their input, this includes persons the correspondence is initiated by (including customers who are asked to complete surveys) and are the subjects of correspondence.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Transitory and Intermediary Records

What is the GRS/RCS Item Number?

5.2/020

What type of Records is this for?

Electronic

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

Electronic Telephone Data (ETD) declares this Records Retention Schedule 5.2 Item 020-Intermediary records for the intermediary records generated and stored for the purposes identified in this PCLIA.

What is the disposition schedule?

Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use, whichever is later.

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Technical and administrative help desk operational records.

What is the GRS/RCS Item Number?

GRS 6.5 Item 010

What type of Records is this for?

Electronic

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

The specific help desk records generated and stored for this project are customer/client 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.

Data Locations

What type of site is this?

System

What is the name of the System?

Verizon-owned Azure Government Community Cloud (GCC)

What is the sensitivity of the System?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

No URL to data other than Power BI Dashboard (Metric)
<https://app.powerbigov.us/home?ctid=e0aa7b74-72e6-424b-a73c-f30e1981bba1>

Please provide a brief description of the System.

All IVR logs are stored within a Verizon-owned Azure Government Community Cloud (GCC) tenant that is FedRAMP certified.

What are the incoming connections to this System?

Interactive Voice Response (IVR) The inbound connection terminates at IRS ETD Server XXXXX. The DCCP raw logs are transferred using SFTP (SecChM-24-05-4068, FCR20240524-00592) over existing vendor to IRS VPN (SecChM-23-06-3279, FCR20230918-004366). Connections and access to the CNL IVR reporting platform (Power BI) under the Verizon OBO tenant are based on Azure's Cross Tenant Trust established between the IRS Azure and the Verizon OBO tenants.

What type of site is this?

System

What is the name of the System?

Cloud Natural Language Interactive Voice Response (CNL IVR)

What is the sensitivity of the System?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

No URL to data other than Power BI Dashboard (Metric)
<https://app.powerbigov.us/home?ctid=e0aa7b74-72e6-424b-a73c-f30e1981bba1>

Please provide a brief description of the System.

IRS refer to as Cloud Natural Language Interactive Voice Response (CNL IVR). DCCP environment is Cloud Software as a System (SaaS) FedRAMP production environment and IRS Production MEM Data Center environment. DCCP is FedRAMP high.

What are the incoming connections to this System?

All IVR logs are stored within a Verizon-owned Azure Government Community Cloud (GCC) tenant that is FedRAMP certified. The inbound connection terminates at IRS ETD Server XXXXX. The DCCP raw logs are transferred using SFTP (SecChM-24-05-4068, FCR20240524-00592) over existing vendor to IRS VPN (SecChM-23-06-3279, FCR20230918-004366). Connections and access to the CNL IVR reporting platform (Power BI) under the Verizon OBO tenant are based on Azure's Cross Tenant Trust established between the IRS Azure and the Verizon On Behalf Of (OBO) tenants.

What type of site is this?

System

What is the name of the System?

Vendor's Digital Contact Center Platform (DCCP)

What is the sensitivity of the System?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

No URL to data other than Power BI Dashboard (Metric)

<https://app.powerbigov.us/home?ctid=e0aa7b74-72e6-424b-a73c-f30e1981bba1>

Please provide a brief description of the System.

A FedRAMP High Certified Software as a System (SaaS) platform under Azure Government Community Cloud (GCC), and it is comprised of two high level components, VoIP & Data. The DCCP platform components for delivering CNL IVR services to the IRS include Dynamics 365, Power Platform, Nuance Mix Runtime, and Power Virtual Agent. In addition to that, Verizon is the On Behalf Of (OBO) tenant for the IRS for administrative access to the tenant for reporting on call metrics and surveys. The system boundary is a single tenant provisioned and maintained for the purpose of access reporting functionality for the DCCP CNL IVR.

What are the incoming connections to this System?

All IVR logs are stored within a Verizon-owned Azure Government Community Cloud (GCC) tenant that is FedRAMP certified. The inbound connection terminates at IRS ETD Server XXXXX. The DCCP raw logs are transferred using SFTP (SecChM-24-05-4068, FCR20240524-00592) over existing vendor to IRS VPN (SecChM-23-06-3279, FCR20230918-004366). Connections and access to the CNL IVR reporting platform (Power BI) under the Verizon OBO tenant are based on Azure's Cross Tenant Trust established between the IRS Azure and the Verizon OBO tenants.