

Date of Approval: 02/04/2025
Questionnaire Number: 1963

Basic Information/Executive Summary

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

Privacy Collection Agency (PCA) Customer Satisfaction

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.

Pursuant to the Fixing America's Surface Transportation (FAST) Act of 2015, IRS is required to hire Private Collection Agencies (PCAs) to collect delinquent taxes where there has been no collection action in over 12 months. This covers tax debts owed that are currently not being worked by the IRS. The PCA phone survey will collect information regarding taxpayer satisfaction with their interaction with the PCA. In addition to the objective of measuring customer satisfaction to meet a balanced measures requirement, Private Debt Collection (PDC) management is motivated to use survey results to identify improvement opportunities and as the basis for enacting improvements. PDC has already contracted with four PCAs to collect delinquent taxes that are over a year old. These PCAs will call the taxpayers to discuss payment options. Once these PCA calls are completed, a select number of these calls will be asked if they would like to take a voluntary survey regarding the service that was just provided to them by the PCA. If they agree to take the survey, the call will be transferred to an automated survey which is administered by an independent contractor. Since the

call is transferred from the PCA directly to the automated system, the Small Business/Self Employed (SB/SE) contractor (ICF International) will not be collecting PII from the taxpayer.

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. 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.

Name

Telephone Numbers

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

No

2 What is your research method(s) used (i.e., survey, telephone interview, focus group or usability testing)?

Telephone

3 Is this a new survey, telephone interview, focus group, or usability test? Throughout the rest of this questionnaire, we will use the term "survey" to include all of these.

No

3.1 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this project?

No

3.11 Enter the full name of the most recent PCLIA.
Privacy Collection Agency Survey, SU-4000

3.12 Enter the PCLIA number of the most recent PCLIA.
6803

3.2 What are the reasons for the change?
Renewal

4 Which Business Unit (BU) is requesting this survey?
Small Business Self Employed

5 Who will the survey be administered to?
Taxpayers

6 Is this a reoccurring survey?
Yes

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

6.11 Will this survey be administered for one year with multiple events (1-year expiration)?
No

7 What is the start date?
April 1, 2025

8 What is the end date?
March 31, 2028

9 Will PII be used to select or contact survey participants or administer the survey?
Yes

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

Current Selection Process The goal of the current selection process is to have 400 long surveys completed per month. This allows for an acceptable monthly margin of error and 100 monthly completes per Private Collection Agency (PCA) customer satisfaction survey. There are currently four (4) PCA's, in the future there may only be three (3). Every other week, all Right Party Contracts (RPC)'s are offered the opportunity to take the PCA Interactive Voice Recording (IVR) customer satisfaction survey and those who agree are transferred to the IVR Survey. Once connected to the IVR survey, the survey contractor randomly assigns each RPC to either the long or short survey. Currently, the long survey

consists of 27 questions and the short survey consists of three (3) questions. This survey year, 12,822 RPCs were randomly selected for the long survey and, of those, 6,574 completed it, representing a 51% response rate. 92,161 RPCs were randomly selected for the short survey with 65,035 respondents completing it, for a 71% response rate. Total RPCs for FY19 was 311,004. Total RPCs for FY20 was 341,679. Contractors shall provide pricing for the following options:

Every other week: 5

- 1) Invite every RPC to take a one (1) question survey on Overall Satisfaction.
- 2) Invite every RPC to take the short survey and one (1) open ended question
- 3) Randomly select 100 RPCs per PCA, per month, to take the long survey and all other RPCs to take the short survey
- 4) Randomly select 100 RPCs per PCA, per quarter, to take the long survey and all other RPCs to take the short survey

Everyday:

- 1) Invite every RPC to take a one (1) question survey on Overall Satisfaction.
- 2) Invite every RPC to take the short survey and one (1) open ended question
- 3) Invite 100 RPCs, per PCA, to take the long survey monthly and, of the other RPCs; ___% would be invited to take the one (1) question survey and ___% would be invited to take the short survey. The percentage of one (1) question surveys and short surveys shall be determined by the contractor and approved by the IRS.
- 4) Invite 100 RPCs, per PCA, to take the long survey quarterly and, of the other RPCs; ___% would be invited to take the one (1) question survey and ___% would be invited to take the short survey. The percentage of one (1) question surveys and short surveys shall be determined by the contractor and approved by the IRS.

11 Describe the SBU/PII data, if applicable, that is collected, disclosed, or studied on individuals who choose not to participate.

Name, Phone Number

12 Explain how participants are notified of the survey (letter, postcard, email, etc.); indicate if the notice lets them know the survey is voluntary/optional; indicate if the privacy act notice was included; lastly, if your survey is not voluntary, explain why it is mandatory.

Participants are notified of the survey through correspondence received via U.S. Mail. The survey is voluntary which is indicated by a note at top of survey that says, "...This voluntary survey should take about 5 minutes to complete.". All three letters, (prenote, cover, and non-responded reminder) all state the survey is voluntary.

13 What tool(s) is/are used to conduct the survey? Please explain how you ensure anonymity of the participants.

Phone Interview. The contractor conducts the survey prior to data transfer to the Internal Revenue Service and the contractor removes all PII to ensure anonymity.

The contractor reads the participant the Privacy Act and Paperwork Reduction Act Notice before the survey begins.

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

No

15 Do participants provide information about themselves? 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.

Yes

15.1 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 on a need-to-know basis, 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 survey is being conducted for IRS by a contractor, and the information you provide will be disclosed to the contractor to the extent necessary for specific performance of the contract. Information that you provide will be protected as required by law and by restrictions required by the Contract. We estimate that it will take 5 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 1545-2250. 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, DC 20224.

16 Who administers (conducts) the survey? (IRS, Vendor or Both)

Vendor

17 Who performs the analysis of the survey? (IRS, Vendor, or Both)

Vendor

18 If a contractor administers (conducts) and analyzes the survey, is all work performed and contained in the United States?

Yes

19 How does the administrator of the survey protect employees' or taxpayers' SBU/PII from compromise, loss, theft, or disclosure?

Sensitive data resides on a secure server and the contractor uses encryption to secure the data to prevent any compromise, loss, theft or disclosure. Only contractor employees with IRS-background clearance are authorized to access such project materials.

20 Provide the information technology (IT)-approved encryption methods and access controls used to transfer data electronically from the IRS to contractors and back to the IRS. (Or contractor to contractor/subcontractors.)

Data is transferred from the Contractor to the IRS via Electronic File Transfer Utility (EFTU).

21 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

22 Identify all IRS/Contractor roles and their access level to the PII data.

Contractor users, managers, developers and system administrators have moderate background investigation levels with read-only access to data.

23 Explain the precautions taken, to ensure that employees or taxpayers who participate in the survey cannot be identified or re-identified under any circumstances.

Contractor does not transmit any taxpayer PII back to the IRS.

24 Explain the precautions taken to ensure no adverse actions can be taken against participants.

Data is always transferred electronically via secure EFTU. The Business Owners will receive one disposition report from the contractor, as well as monthly datasets from the monthly survey administration. No specific taxpayer information regarding the survey will be provided to the Business Owners. The contractor uses variable coding on the reports where participants are referred to as 'respondents.' Participants cannot be identified, and no adverse actions will be taken against them regarding their responses. All reports are prepared internally by the SBSE Research Team.

25 Explain how you have ensured that no "raw" or unaggregated employee or taxpayer data will be provided to any IRS office.

The Business Owners will receive one disposition report from the contractor, as well as monthly datasets from the monthly survey administration. No specific taxpayer information regarding the survey will be provided to the Business Owners. The contractor uses variable coding on the reports where participants are referred to as 'respondents.' Participants cannot be identified, and no adverse

actions will be taken against them regarding their responses. All reports are prepared internally by the SBSE Research Team.

26 Does your survey use, maintain, collect, or display any records describing a participant's tax return information or income, deductions, credits, etc. that are covered by the individual's First Amendment rights.)

No

Interfaces

Interface Type

IRS or Treasury Contractor

Agency Name

Fors Marsh

Incoming/Outgoing

Both

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.

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?

SBSE 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 Encrypted Drive

What are the incoming connections to this Shared Drive?

No incoming connections, all data is routed through EFTU

What are the outgoing connections from this Shared Drive?

None