

Date of Approval: 02/28/2025
Questionnaire Number: 1979

Basic Information/Executive Summary

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

Field Examination Customer Satisfaction 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 survey is conducted as part of the IRS agency-wide initiative to monitor and improve taxpayer satisfaction with the Field Examination program. To ensure that the Field Examination program is 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 survey is conducted monthly via mail. This program has four (4) primary objectives: Obtain survey data that is representative of the taxpayer experience in each of the Field Examination program. Identify customer expectations of the Field Examination program. Track customer satisfaction for the Field Examination program at the National and area-

level for the closed case surveys. Identify operational improvements and improvements to taxpayer experience.

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.

Address

Email Address

Federal Tax Information (FTI)

Name

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)?

Mail Survey

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?

Yes

3.11 Enter the full name of the most recent PCLIA.

Field Exam Customer Satisfaction Survey, SU-6777

3.12 Enter the PCLIA number of the most recent PCLIA.

6777

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

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.

Participants are taxpayers that are randomly selected each month via a stratified random sample of using the IRS Audit Information Management System (AIMS) secured database. Samples are stratified by campus to ensure an adequate number of respondents for campus level analyses. Survey material is then mailed out to the random selection.

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

Name, Address, Email Address, FTI

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.

The tools use to conduct the survey include a letter and a postcard. The contractor administers the survey by mail monthly. The current mail survey process includes: 1) an advance letter about the survey; 2) a cover letter with the survey questionnaire and URL; 3) a postcard reminder; and 4) a second letter and survey questionnaire and URL to non-respondents. The participants have a choice; to respond via mail or electronically. The survey cover letter includes a link to take the survey electronically; the link (www.SurveyIRS.com) is web based and can only be accessed by vendor administering the survey. A password is also included with the link; the password prevents the participants from responding to the survey more than once. The vendor (FMG) is FedRAMP Certified and the software used is operated in-house on the vendors servers; nothing is in the cloud. The contractor conducts the survey prior to data transfer to the Internal Revenue Service and the contractor removes all PII to ensure anonymity.

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)

IRS and 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 IRS to the Contractor through use of the IRS Secure Database, Audit Information Mgmt System (AIMS). 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.

Information that can identify an employee or taxpayer is deleted from the data that is retained by the administrator/vendor.

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

Information that can identify an employee or taxpayer is deleted from the data that is retained by the vendor

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

Only the administrator of the Survey has access to the raw data.

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

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 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?

Cyber-security and the National Institute of Standards and Technology (NIST) for records retention requirements state that documents must be securely maintained for seven (7) years prior to destruction or until the end of the contract term (Period of Performance). These requirements will obviously be considered in drafting a final request for records disposition authority for NARA submission and approval

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?

Contractor maintains compliance with Cyber-security and National Institute of Standards and Technology (NIST) requirements for data to be transferred through the Electronic File Transfer Unit (EFTU) or by using the Secure Zip data transfer method. Any time a bulk file encryption is used, requiring the sharing of an encryption phrase, the pass phrase will be communicated separately from the email/package, with an alternate method to communicate, e.g. phone call to communicate pass phrase.