

Survey PCLIA ID Number: 3856  
Date of Approval: April 06, 2020

## **SURVEY DESCRIPTION**

*Full name and acronym of the Survey.*

External Customer Satisfaction Survey, SU-3856

*Type of Survey:*

Survey

Note: the remaining questions will be simplified to refer to *the Survey* but still apply to Telephone Interview or Focus Group. If Telephone Interview or Focus Group, a copy of Interview Questions or the Moderator's Guide will be requested by the Privacy Analyst.

*Is this a new Survey?*

No

*Is there a PCLIA for this Survey?*

No

*Is this a reoccurring Survey?*

Yes

*List the schedule or requested operational date(s) of when the Survey will be administered.*

05-01-2019 - 08-01-2019

*Does this survey have an SOI (Statistics of Income) control number?*

No

*Does the Information Collection Request require OMB clearance?*

Yes

*What is the OMB Clearance number?*

OMB 1545-2250

## GENERAL BUSINESS PURPOSE

*What is the general business purpose of this Survey? Provide a clear, concise description of the Survey, the reason for the Survey, and the benefits to the IRS mission.*

The Media and Publications (M&P) Division of the Internal Revenue Service needs to measure external customer satisfaction with its products and services. M&P wants to measure satisfaction with their products, to ensure they enhance taxpayer's abilities to understand and meet their obligations under Federal tax laws. Feedback from external customer satisfaction surveys is critical for assessing the customer's perception of our products and services and for the M&P surveys are a continuation of previous customer satisfaction studies. Survey venues include: Individual Taxpayers survey, Business Taxpayers survey, Tax Preparers survey, (web/mail surveys), and Forms Distribution survey (web only survey). The primary goals of the survey are to survey external customers who use the documents and services provided by M&P (i.e., individual taxpayers, business taxpayers, tax preparers, and forms distributors). More specifically to: 1-Assess helping the various program areas develop service improvement actions. M&P requires a commitment from a contractor to establish sampling methods to select valid samples from the appropriate populations—and to conduct web-based and mail surveys designed and owned by M&P. The targeted participants are Taxpayers (individual, business, tax preparers, and form distributors). They are being asked to complete surveys Form F13990, F13991, F14468, F12621 that are conducted web-based and mailed. The surveys will be conducted the summer of 2019. The surveys are being conducted to measure external customer satisfaction which is critical for assessing the customer's perception of our products and services and for helping the various program areas develop service improvement actions. The surveys will benefit the IRS by: 1. Assessing the level of customer satisfaction with M&P's products and services. 2. Providing M&P with suggestions for product and service improvements. 3. Producing actionable results that can be used to improve specific products and business processes. 4. Generating an understanding of customer satisfaction with all aspects of a document (e.g., ease of use, readability, clarity of language).

## PII DETAILS

*Is Personally Identifiable Information (PII) used, collected, received, displayed, stored, maintained, or disseminated in the Survey; or is PII used to select participants? (i.e. names, addresses, email addresses, etc.)?*

Yes

*Please specify the types of PII:*

Name  
Mailing address  
E-mail Address  
Criminal History  
Tax Account Information

*Are there other types of PII collected in the Survey?*

Yes

*Describe the other types of PII that are applicable to this Survey:*

Language spoken, age range, filing status, tax returns filed, business assets less than \$10 million in assets and less than \$1 million in gross receipts. Form 1040 with a Schedule C, C-EZ, or F; Form 1120; Form 1120S and/or Form 1065. Tax Preparers were those with a Preparer TIN that were compliant and did not have a felony, unique identifier

*Is any PII data collected, disclosed, or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate?*

Yes

## **PRIVACY ACT & SYSTEM OF RECORDS**

*Is there a System of Records Notice(s) or SORN(s) that addresses the PII records in this Survey?*

Yes

*Enter the SORN number(s) and the complete name of the SORN(s):*

- IRS 00.001 Correspondence Files and Correspondence Control Files
- IRS 00.003 Taxpayer Advocate Service and Customer Feedback and Survey Records
- IRS 22.062 Electronic Filing Records
- IRS 24.030 Customer Account Data Engine Individual Master File
- IRS 24.046 Customer Account Data Engine Business Master File
- IRS 34.037 Audit Trail and Security Records

## PRIVACY ACT NOTICE

*Based on the information you have provided, does the Survey require a Privacy Act Notice to be provided to the participants?*

Yes

*Please provide the Privacy Act Statement:*

The 2019 survey letters did not include a Privacy Act Statement as they were removed during a review by the Office of Taxpayer Correspondence and Chief Counsel. The authority requesting the information is 5 USC 301. The primary purpose of asking for the information is to determine steps IRS can take to improve our service to you. The information may be disclosed as authorized by the routine uses published for the Privacy Act System of Records entitled, IRS 00.001 Correspondence Files, including Stakeholder Partnership File, and Correspondence Control Files, as published in the Federal Register: December 10, 2001 (Volume 66, Number 237)] [Notices] pages 63785-6. Providing the information is voluntary. Not answering some or all of the questions will not affect you.

## RESPONSIBLE PARTIES

## OFFICIAL USE ONLY

## INCOMING PII INTERFACES

*Does the employee/taxpayer PII come from the IRS, Treasury, or other Government system(s), application(s) or data base(s)?*

Yes

*List the source that the PII is extracted or derived from.*

Name: Compliance Data Warehouse (CDW)  
Transmission Method: Enterprise File Transfer Utility (EFTU)  
ISA/MOU: No

Name: Tax Forms Outlet Program (TFOP)  
Transmission Method: Enterprise File Transfer Utility (EFTU)  
ISA/MOU: No

*Does the data come from other sources?*

No

## **PII SENT TO EXTERNAL ORGANIZATIONS**

*Are the Survey results disclosed to any other Federal or State Government? (For example, the Federal Viewpoint Survey/Questionnaire - OPM gets the results.)*

No

*Are any external resources used to create the database of the participants?*

No

## **SURVEY PARTICIPATION**

*Who will the Survey be administered to?*

Taxpayers

*Explain how participants are selected. Include a detailed description of the method and reason of selection. If selection is random, please explain.*

Please see the attached criteria for information on how participants are selected. Participants are randomly selected from IMF and BMF databases and the list of our Forms Distribution customers. WIRA provides the "data" file of the randomly selected participants to the Contractor. W&I Media & Publications is the source of the extracted data provided to the Contractor for the Forms Distribution survey. The sampling plan will include the target population and sampling frame, sampling specifications, expected reliability of the sample estimates, sampling limitations, preliminary sampling weights, and the strategy for achieving target quotas within key strata. These are encrypted data files sent electronically with Secure Messaging. The data is consolidated and forwarded to the contractor via secured electronic transfer. When the data is returned to the IRS from the contractor, it contains variable coding. This means that no "taxpayer" can be identified. We do not send it to the contractor in variable coding. Forms Distribution provides the vendor with the e-mail addresses of their customers, primarily libraries and post offices, who request tax products using this e-mail address. The vendor sends the Forms Distribution customer an e-mail inviting them to participate in the survey. The participants are given an access code and password and a web address which they have to cut and paste to access the survey. For the Individual, Business, and Tax Preparer surveys, there is the option to take the survey online. If they chose to do so, the letter contains the access code, password, and e-mail address which takes them to the survey. Yes, cookies are used by the vendor.

*How are participants notified of the Survey?*

The letters are sent to taxpayers and emails are sent to forms distribution customers.

*Is the Survey voluntary?*

Yes

*How is notice given that the Survey is optional?*

Participation in this survey is voluntary and can be terminated at any time with no risk of penalty. Nowhere on the letter or survey does it state that the survey is mandatory.

*How will the Survey be conducted?*

Mail

*Explain the method for choosing participants:*

Wage and Investment Research and Analysis (WIRA) delivers the Individual and Tax Preparer participant list for the Enterprise Common Services (ECS)S. WIRA delivers all of the lists except Forms Distribution. The Individual Taxpayers are selected from a pool of taxpayers over 18 who did not use a preparer and filed a 1040, 1040A or 1040EZ. The Business Taxpayers are selected if they file one of the following returns and have less than \$10 million in assets and less than \$1 million in gross receipts. Form 1040 with a Schedule C, C-EZ, or F; Form 1120; Form 1120S and/or Form 1065. Tax Preparers were those with a Preparer TIN that were compliant and did not have a felony.

Other

*Please explain:*

Business needs justification-all of the Forms Distribution survey interactions are conducted via e-mail. The taxpayers contact the IRS via e-mail and therefore we correspond back to them via e-mail. There are no other means of communicating with the taxpayer.

## **SURVEY PROCESS**

*Does the IRS administer or perform analysis of the survey?*

Analysis

*Provide the name of the IRS office:*

Wage & Investment Operations Support (WIOS)

*Does a contractor/vendor administer or perform analysis of the survey?*

Administer

*Provide the name of the contractor/vendor:*

FORS MARSH GROUP

*Has a Contracting Officer or Contracting Officer's Representative (COR) verified:*

*That all applicable FAR requirements are met to engage a contractor to perform the survey?*

Yes

*That all required "non-disclosure" clauses are contained in the contract.*

Yes

*That all contractor employees who will have access to the data have signed non-disclosure agreements and the non-disclosure forms are on file with the COR.*

Yes

*What is the level of access and background investigation completed on contractor employees prior to access to PII about employees or taxpayers? Any contractor or subcontractor who will have access to the PII should have at least a "Moderate Risk" (NACIC) investigation. See Publication 4812 - Contractor Security Controls.*

Contractor Users: Read-Only Moderate

## **INFORMATION PROTECTION**

*What information/results will be provided to the business owners (IRS Requestors) of the Survey?*

The contractor will prepare and provide written reports (topline and final) presenting findings from the survey research, including: the survey population's overall satisfaction rating for IRS tax products; satisfaction ratings for specific schedules, tax forms and publications; calculations and ratings for other survey items; significance testing between current and past customer satisfaction estimates and findings; and suggested improvement priorities and recommendations based on the findings. The contractor will also provide survey response rates and the survey data file (without any personally identifiable information).

*Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances?*

Yes

*Can you confirm that no adverse actions can be taken against participants regarding the participant's answer?*

Yes

*For employee or taxpayer Satisfaction Surveys, can you verify that no "raw" or un-aggregated employee or taxpayer data will be provided to any IRS office?*

Yes

*Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey?*

Yes

*What will be provided to the business owner, explain the business reason.*

Surveys are emailed to form distribution customers who "opt-in" to take the survey. We used the emails they provide to send the survey.

## **RECORDS SCHEDULE**

*Are the Survey records covered under the General Records Schedule (GRS), or have a National Archives and Records Administration (NARA) archivist approved a Record Control Schedule for the retention and destruction of official agency records stored in this Survey?*

Yes

*How long are the records required to be held under the corresponding RCS and how are they disposed of? Explain how long any PII data will be retained by the contractor if they are conducting the Survey on behalf of the IRS. In your response, please include the complete IRM number and specific item number and title.*

All records for the survey will be deleted or destroyed in accordance with approved retention periods. Any records will be managed according to requirements under IRM 1.15.1 and 1.15.6 and will be destroyed using IRS General Records Schedule (GRS) 5.8, Item 010 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. GRS may be superseded by IRS specific RCS in the future. Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

## DATA SECURITY

*How does the administrator of the survey guarantee that the PII regarding employees or taxpayers will not be compromised, lost or stolen when housed on IRS computers? Where and how is it stored and protected?*

All survey data, including any PII data used to pull the sample, will be securely stored on an encrypted IRS server. Only authorized IRS employees will have access to the data, and they will take necessary precautions and adhere to IRS guidance to ensure any PII data are not compromised, lost or stolen.

*Does a contractor/vendor administer or perform analysis of the survey?*

Yes

*Please provide the Cyber security approved security and encryption used when data is transferred electronically from IRS to Contractors and back to the IRS.*

The Electronic File Transfer Utility (EFTU) is used to transfer data electronically from the IRS to contractors and back to the IRS.

*When data is not sent electronically, provide in detail the information regarding the transfer back and forth from the IRS to contractors?*

Data will only be transmitted electronically between the IRS and contractors. However, if data must be shipped or mailed between the IRS and contractors, IRM guidelines will be followed.

*How is the survey PII protected and stored when it is housed at a contractor's site, on contractor's computers? Please provide detailed information that the contractor uses regarding the physical and electronic security and protection of the data before, during, and after the survey.*

During survey administration, the contractor assigns a unique identification number to each taxpayer included in the sample. This unique identifier replaces names, addresses, or other personally identifiable information. When the contractor receives survey responses (via mail or the online survey platform), the contractor can match the responses to a taxpayer using the unique identifier. However, due to the purpose of the research and IRS Disclosure and Security guidelines, the contractor will not identify taxpayers who participate in the survey. Additionally, the contractor will not include any personally identifiable information in the survey data file it provides the IRS. The topline and final reports prepared by the contractor will not identify survey participants. The contractor's procedures ensure strict protection of access to and use of all research data, mandate systematic physical and logical access control, as well as explicitly define security policy and procedures governing media access, server security, sensitive data handling, audit and accountability, router security, and the prevention of unauthorized access. As standard procedure, all research data is stored in a secure network

of servers protected by a firewall and located in a secured, locked room. Access to the data center is restricted to authorized persons and alarms are monitored 24x7x365. Annually since 2011, the contractor passed on-site IRS security review, indicating compliance with the requirements of NIST 800-53, Revision 3, Annex 2.

## **CIVIL LIBERTIES**

*Does the Survey maintain records describing how an individual exercises rights guaranteed by the First Amendment (including, but not limited to information regarding religious and political beliefs, freedom of speech and of the press, and freedom of assembly and petition)?*

No

*Will this Survey have the capability to identify, locate, and monitor individuals or groups of people?*

No