

Survey PCLIA ID Number: 4518  
Date of Approval: April 26, 2020

## **SURVEY DESCRIPTION**

*Full name and acronym of the Survey.*

Injured Spouse Customer Satisfaction Survey, SU-4518

*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?*

Yes

*Is this a reoccurring Survey?*

Yes

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

Yes, this is a 5 year Customer Satisfaction survey contract. We are currently in the last Optional period, (OP4). October 1, 2019 through March 31, 2021. Currently the contractor is Fors Marsh Group (FMG) and could possibly change during the upcoming (BPA) selection.

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

Yes

*Enter the SOI Control Number:*

16-422

*Does the Information Collection Request require OMB clearance?*

Yes

*What is the OMB Clearance number?*

15-545-1432

## **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 Injured Spouse operation within the Customer Accounts Services (CAS) Operating Unit of the W&I Business Operating Division (BOD) is responsible for responding to written customer technical and account inquiries, resolving customer account issues, providing account settlement (payment options), and working related issues. Spouses who are impacted by enforceable past due debts i.e., child support, spousal support, student loans, federal and state taxes must complete this form, 8739 (Allocation Spouse Allocation). W&I requires feedback from customers to continually improve the Injured Spouse operations. W&I solicits this feedback through customer satisfaction research. W&I CAS expects to accomplish the following objectives: To measure the level of customer satisfaction concerning services provided to the customer during their Injured Spouse interaction. To identify problems that customers encounter when interacting with the Injured Spouse function. To gain insight on improvements that can be made to Injured Spouse services. To improve the service that Injured Spouse provides to their customers. To assess improvements/problems by comparing this year's results to prior years. From the survey responses, W&I CAS will be able to assess the current level of customer satisfaction for the Injured Spouse operations and draw on customer input to improve our products and services.

## **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  
Phone Numbers  
E-mail Address  
Date of Birth  
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:*

Frequently, Taxpayer (TP) may file an amended return 1040X along with the Injured Spouse Allocation Form 8379.

*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 24.030 Customer Account Data Engine Individual Master File

IRS 24.046 Customer Account Data Engine Business Master File

## **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:*

Privacy Statement: 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, 2011 (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: Integrated Automation Technologies (IAT)  
Transmission Method: Generalized IDRS Interface (GII)  
ISA/MOU: No

Name: Internal Revenue Service (IRS)  
Transmission Method: Integrated Automation Technologies (IAT) Generalized Integrated Data Retrieval System Interface (GII), Integrated Data Retrieval System (IDRS)  
ISA/MOU: No

Name: CAS:W&I:AM  
Transmission Method: IAT, GII, IDRS  
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.*

The sample universe will consist of taxpayers with closed Injured Spouse cases stratified by the 8 W&I Accounts Management /Injured Spouse sites. The population size is 100% of the Injured Spouse cases received and closed. For FY 2019, October, 2018 - September, 2019 the population was 312,931. All closed Injured Spouse cases are pulled and sent to the contractor to select which taxpayers will be sent a surveys. The target population for the Injured Spouse customer satisfaction survey consists of those individuals whose portion of a joint income tax overpayment was or will be used to offset a tax or nontax debt for which he/she is not liable. The W&I Injured Spouse staff provides FMG the total volume of the injured spouse population on a monthly frequency for monthly sample selection. The cases with incomplete addresses (no name, no street address, no city, etc.), international cases, deceased records, IRS addresses, duplicates in the monthly file, sampled customers who appear again in the population frame within twelve consecutive months after being sampled, and cases with a single name listed are removed from the population frame. The population frame limitation for administering the survey is therefore the condition that the customer does not meet any of these exclusion criteria. Any customer who does not meet these exclusion criteria has a probability greater than zero of being selected for the sample. The implication of this limitation is that the customers who do meet any of these exclusion criteria have no chance of being in the sample. This is appropriate for those who are deceased and duplicates in the monthly file. However, those customers abroad and those with unreachable addresses are not sampled. Customer satisfaction measures calculated from the sample are representative and conditioned on the domestic population that is reachable by mailing address. However, if it is reasonable to assume that a customer's satisfaction is independent of the event that a valid mailing address is recorded, then survey results are representative of all domestic customers contained within the population frame with one exception. Customers who appear in several months of a twelve-month period may be indicative of a protracted payment issue in which satisfaction levels may change over time. If these customers are omitted from the population frames following their initial selection for the monthly sample, these changes are not captured. In light of this issue, this does minimize this subpopulation's response burden. The proposed sample design for the Injured Spouse customer satisfaction survey is a stratified simple random sample (stratified by site and month) drawn from the monthly volumes of customer records as described in the population sampling frame. This sample design is appropriate given the information provided in the population frame and the objectives of the survey. The months in a reporting period by office site form the strata. Precision is maximized under this design using proportional allocation of the required sample size to the monthly volume of customers by site in the reporting period relative to the volume for the entire reporting period.

*How are participants notified of the Survey?*

Mail. The vendor will administer the survey by mail on a monthly basis. These will include: 1) an advance letter (pre-note) about the survey from the IRS; 2) a cover letter with the survey from the vendor; 3) a postcard reminder from the vendor; and, 4) a second letter and survey to non-respondents from the vendor.

*Is the Survey voluntary?*

Yes

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

The pre-note letter from the Director of the Accounts Management will notify the taxpayer that the survey is voluntary.

*How will the Survey be conducted?*

Mail

*Explain the method for choosing participants:*

Participants are selected from taxpayers who correspond with IRS or send in amended tax returns. W&I Injured Spouse operation is the source of the extracted data provided to the Contractor. The contractor will prepare and submit to IRS a sampling plan for the 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. Sample plans are followed by IRS based on expected volumes in each site. Please see Question 15.  
\*Describe how you select your sample.

## **SURVEY PROCESS**

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

Neither

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

Both

*Provide the name of the contractor/vendor:*

Fors Marsh Group will be administering and performing the reporting and analysis.

*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 and Write Moderate

Contractor Managers: Administrator Moderate

Contractor Developers: Administrator High

Contractor Sys. Admin.: Administrator High

## **INFORMATION PROTECTION**

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

An Annual/or Semi-annual, quarterly/Dashboard reporting of the results of the survey. Survey scoring for this contract is based on the Customer Satisfaction Survey Score response average to the keystone question - "Everything considered, rate your overall satisfaction with the service you received during this call." Questions utilize a 5-point rating scale, with 1 being very dissatisfied and 5 being very satisfied. All survey responses are released only as summaries. The contractor shall hold the identities of the taxpayers responding to the survey private to the extent permitted by law. Completion of the survey takes approximately seven minutes. It contains a standard set of questions but allows certain "drill down" questions that vary as needed. To maintain the ability to compare results from quarter to quarter or month to month depending contract options to be exercised, changes that impact the meaning of questions will occur minimally The vendor will, as an optional task, summarize the quantitative ratings and produce a national report showing customer satisfaction scores on all

Injured Spouse survey items, some site information, and overall improvement priorities for the function. Also, as optional tasks the contractor may be required to provide monthly, quarterly and/or semi-annual reports. The vendor will include any relevant database variables in the analysis and will weigh the survey responses as necessary to accurately reflect the entire customer base. The contractor will also produce a one-page quarterly summary report to distribute to specified IRS personnel. On an annual basis, the contractor will prepare one national report and eight site level reports. The national report will show the calculation of a weighted fiscal year cumulative score for Customer Satisfaction and Dissatisfaction.

*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?*

No

## **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.*

The Injured Spouse Customer Satisfaction survey for option period 4 is scheduled. 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) 6.5, Item 010 and

as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. This survey is conducted by an outside contractor, FMG. Cyber-security and NIST Standards for record retention requirements states that documents must be securely maintained for seven years prior to destruction or until the end of the contract term (Period Of Performance), whereas the participation of the contractor under the CSS BPA has been terminated. At that time, the contractor will return all files securely to the IRS or the data may be properly disposed of by using pre-approved methods and appropriately witnessed and then submitting a form similar to or same as the Standard Form 1428, Inventory Disposal Schedule to designated IRS officials.

## **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?*

UNAX briefings are taken every year and an agreement signed by IRS employees. Only aggregated results from the survey will be provided to the business unit. No PII will be provided from the vendor.

*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.*

All data will be transferred through the Electronic File Transfer Utility (EFTU)

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

Data will be only be sent via EFTU.

*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.*

All Injured Spouse CSAT survey data is sent and received via secure transmission. Sensitive IRS data resides on a secure server and the contractor will use the appropriate encryption to secure the data. The encryption method used will be disk, directory or file level. Workstations that access and require working with sensitive data located on the secure server use the appropriate encryption method. Per Cyber Security team, the contractor utilizes a

secure server to house IRS projects, and it is protected inside of FMG Login Protected Network that can only be accessed by contractor authorized personnel.

## **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