

Survey PCLIA ID Number: 5616  
Date of Approval: November 20, 2020

## **SURVEY DESCRIPTION**

NOTE: All questions will refer to 'Survey' but also apply to a telephone interview or focus group.

*Full name and acronym of the Survey.*

TAS Customer Satisfaction Survey, SU-5616

*What type of information collection will be used?*

Survey

*Is this a new Survey?*

Yes

*Which Business Unit (BU) is requesting the Survey?*

National Taxpayer Advocate (HQ)

*Who will the Survey be administered to?*

External Survey (Taxpayers or Others)

*Is your Survey a Customer Satisfaction or Taxpayer Experience Survey?*

Yes

*Does the information collection request require OMB Clearance?*

Yes

*Does this Survey have a Statistics of Income (SOI) number?*

Yes

*Is this a reoccurring Survey?*

Yes

*Indicate Frequency*

Annually (3-year expiration date)

*Expected start date:*

2/1/2021

## **GENERAL BUSINESS PURPOSE**

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

The purpose of the survey, which is voluntary and anonymous, is to determine the satisfaction level of taxpayers and practitioners who have recently received assistance from the Taxpayer Advocate Service. This survey is conducted every year to ensure alignment of its program, policies and procedures with the needs and expectations of its customers. The Taxpayer Advocate Service (TAS) is committed to exceeding customer expectations. The organization has learned that it is important to more fully understand the needs and priorities of its customers and that everyone plays a role in providing an exceptional experience. Through the TAS process, taxpayers are helped with their understanding of their tax obligations as their IRS problem is resolved.

## **PII DETAILS**

*Does the Survey use, collect, receive, display, store, maintain, or disseminate PII, or is PII (names, addresses, email addresses, etc.) used to select participants?*

Yes

*Please specify the types of PII:*

Name  
Mailing address  
Centralized Authorization File (CAF)

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

No

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

Yes

*Describe the PII that is collected.*

Name, Mailing Address, CAF Number

*Does the Survey use, collect, receive, display, store, maintain or disseminate linkable data (gender, ethnicity, parts of address, tax filing information, etc.) or use linkable data to select participants?*

Yes

*List the linkable data applicable to this Survey.*

Case File Number, Unique ID Number

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

*Does your survey concern any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.*

Yes

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

IRS 00.003 Taxpayer Advocate Service and Customer Feedback and Survey Records

*The Privacy Act of 1974 (5 USC &sect552a(e)(3)) requires each agency that maintains a system of records, to inform each individual requested to supply information about himself or herself. Do Survey participants provide information about themselves?*

No

*Privacy analyst agreement date.*

8/26/2020

## **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, how the data is transmitted, and if there is an Interconnection Security Agreement (ISA) or Memo of Understanding (MOU).*

Name: Taxpayer Advocate Management Information System (TAMIS)

Transmission Method: Closed case information is extracted from this internal database using the Business Objects platform (BOE). It is extracted directly from this internal site to a secure laptop computer.

ISA/MOU: No

*Does the employee/taxpayer PII come from external resources (contractor, subcontractor, etc.)?*

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 - the results are sent to OPM.)*

No

*Are the Survey results disclosed to any other sources? (Contractor, Sub-contractor etc.)*

No

## **SURVEY PARTICIPATION**

*Explain how the participants are selected. Include a detailed description. (If the selection is random, explain the process.)*

No PII information will be used. Participants are randomly selected by TAS Business Assessment staff. Each participant is assigned a unique identifier number that will replace the Taxpayer Advocate Management Information System (TAMIS) case number. Business Assessment will then apply the random selection formula to a monthly extract of closed cases to be forwarded to the Government Printing Office (GPO) printer so a survey package (invitation letter, cover letter, survey questionnaire and postage paid envelope) can be forwarded to the potential respondent.

*How are participants notified (letter, postcard, email etc.) of the Survey?*

Participants will be notified by a mailed pre-notification letter.

*Is the Survey voluntary/optional?*

Yes

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

The pre-notification letter and cover letter include a statement: "Your participation is voluntary."

## **SURVEY PROCESS**

*How will the Survey be conducted?*

Mail

*Explain the method for notifying participants. (Letter, Postcard)*

Selected participants are notified by a mailed pre-notification letter. The actual survey follows in a separate mailing.

*Will the Survey be audio-taped?*

No

*Will the Survey be video-taped?*

No

## **DATA SECURITY**

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

Both

*Provide the name of the IRS office administering the survey.*

Taxpayer Advocate Service, TAS Research and TAS Business Assessment

*Provide the name of the IRS office performing analysis of the survey.*

Taxpayer Advocate Service, TAS Research and TAS Business Assessment

*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?*

Business Assessment Senior Analysts will maintain the PII data on their respective laptops. Both of these positions are subject to all the restrictions and requirements applicable to IRS employees handling PII on behalf of the IRS. Both of these positions are located in IRS offices. All data is transferred per the instructions in IRM 1.10.3.2.1, Secure Messaging and Encryption, 10.8.1.4.17.2.2, Electronic Mail Security, and 11.3.1.14.2, Electronic Mail and

Secure Messaging. Data is transferred using IT-approved technology. This includes secure e-mail via Outlook and for attachments, using SecureZip. After survey validation is completed, all PII records are deleted from the respective laptops.

*Where and how is it stored and protected?*

All survey PII data will be maintained on laptop computers which includes all the current and required IRS protection software.

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

No

## **SURVEY INFORMATION**

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

Information to measure customer satisfaction will be gathered from a statistically valid sample of the customers and will be used to measure, among other things, whether those customers believe that they received courteous, timely, and professional treatment by the IRS personnel with whom they dealt. The level of overall satisfaction will be measured by the customers and reported. Customers will be permitted to provide information requested for these purposes under conditions that guarantee them anonymity.

*Are the results aggregated?*

Yes

*What is the minimum sample size?*

The average sample size at the office level for the FY2019 survey was 132 records. The smallest sample size for an office was 58 records.

*Explain the precautions taken, to ensure the survey results will not be used for any other purpose, not listed in question 7, General Business Purpose.*

The survey results do not contain any information that would identify the taxpayer/representative or the employee who assisted them.

*Does the administrator of the Survey have access to information identifying participants?*

Yes

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

The availability of identifying information is limited to two TAS Business Assessment employees and is not shared with other personnel, including managers. After survey validation is completed, all PII records are deleted from the respective laptops.

*Explain the precautions taken to ensure no adverse actions can be taken against participants?*

The information is protected so no employees, including managers have access to participants' information.

*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?*

The availability of identifying information is limited to two TAS Business Assessment employees and is not shared with other personnel, including managers. After survey validation is completed, all PII records are deleted from the respective laptops.

## **RECORDS SCHEDULE**

*Are the Survey records covered under a General Records Schedule (GRS, IRS Document 12829) or has the National Archives and Records Administration (NARA) approved a Records Control Schedule (RCS, IRS Document 12990) for the retention and destruction of this Survey and supporting documentation?*

Yes

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

No market research contractor will be involved in the TAS Customer Satisfaction Survey so no PII data will be held by an outside contractor. Reference: NIST 800-53, Recommended Security Controls for Federal Information Systems & Organizations (Media Protection, Media Storage, System and Information Integrity) NIST Special Publication 800-88, CSS BPA contract Section Secure Data Transfer (SDT) Requirement and CSS BPA contract IRSAP clause 1052.224-900 (c)). The TAS Customer Satisfaction Survey All records for the survey will be deleted or destroyed in accordance with approved retention periods. Any TAS Customer Satisfaction Survey 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. GRS may be superseded by IRS specific RCS in the future. Temporary. Destroy 1 year after resolved. Cyber-security and NIST Standards for records retention requirements state 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. These requirements will obviously be considered in drafting a final request for records disposition authority for NARA submission and approval.

## **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, freedom 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

## **RESPONSIBLE PARTIES**

## OFFICIAL USE ONLY