

Survey PCLIA Report

Date of Approval: March 29, 2018

Survey PCLIA ID Number: **3365**

A. Survey Description

1. Full name and acronym of the Survey. Taxpayer Advocate Service Customer Satisfaction Su, N/A
2. Is this a Survey, Telephone Interview or Focus Group? 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 Moderators Guide will be requested by the Privacy Analyst.

3. Is this a new Survey? Yes
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4. Is this a reoccurring Survey? Yes

4.a. If yes, list the schedule or requested operational date(s) of when the Survey will be administered. Survey will be based on fiscal year cycle. The same survey will be conducted from April 2018 to June 2020. This survey will be a continuation of the FY 2017 TAS Customer Satisfaction Survey.

5. Does this Survey have an SOI (Statistics of Income) control number? Yes

5.a. If yes, enter the number. CS-18-491

6. Does the Information Collection Request require OMB Clearance? Yes

6.a. If yes, what is the OMB Clearance number? 1545-1432

A.1. General Business Purpose

7. 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 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 of expectations of its customers. The Taxpayer Advocate Service (TAS) is committed to exceeding customer expectations. The organization has learned that is it important to more fully understand the needs and priorities of its customers and that everyone plays a role in providing exceptional experience. Through the TAS process, taxpayers are helped with their understanding of their tax obligations as their IRS problem is resolved.

B. PII Details

8. 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.)? No

C. Privacy Act & System of Records

9. Is there a System of Records Notice(s) or SORNS that addresses the PII records in this Survey? Yes

9a. If yes, enter the SORN number(s) and the complete name of the SORN(s).

<u>SORNS Number</u>	<u>SORNS Name</u>
Treasury/IRS 00.003	Taxpayer Advocate Service and Customer Feedback

C.1. Privacy Act Notice

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

9.1.a. If yes, please provide the Privacy Act Statement. The primary purpose for requesting this information is to help the IRS improve its service to taxpayers. Our authority for requesting the information is 5 USC and 26 USC 7801. Providing information is voluntary. However, if you do not answer all or part of the survey questions, the IRS and TAS may lack information it could use to improve taxpayer service. TAS is required to follow confidentiality protections required by the Privacy Act and/or Internal Revenue Code section 6103.

D. Responsible Parties

10. Identify the individuals for the following Survey roles: (System Owner = Survey Owner/Business Owner) ## Official Use Only

E. Incoming PII Interfaces

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

11.a. If yes, list the source that the PII is extracted or derived from.

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
Taxpayer Advocate Management Information System (TAMIS)	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.	No

11.1. Does the data come from other sources? No

F. PII Sent to External Organizations

12. Are the Survey results disclosed to any other Federal or State Government? (For example, the Federal Viewpoint Survey/Questionnaire – OPM gets the results.) No

13. Are any external resources used to create the database of the participants? No

G. Survey Participation

14. Will the Survey be administered to IRS, Taxpayers or Others? Taxpayers

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. No PII information will be used. Participants will be selected at random by a formula determined by the TAS Research staff. The formula will assign a unique identifier number that will replace the Taxpayer Advocate Management Information System (TAMIS) case number. TAS Research 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.

16. How are participants notified of the Survey? Participants will be notified by a mailed pre-notification letter.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? In the pre-notification letters and cover letters there is a statement: "Your participation is voluntary."

18. How will the Survey be conducted?

Yes Mail

Explain the method for choosing participants. As noted in Item 15 above: Participants will be selected at random by a formula determined by the TAS Research staff. The formula will assign a unique identifier number that will replace the Taxpayer Advocate Management Information System (TAMIS) case number. TAS Research 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.

G.1. Survey Process

19. Does IRS administer or perform analysis of the survey? Both

Provide the name of the IRS office. Taxpayer Advocate Service, TAS Research Unit and the Business Assessment Unit.

20. Does Contractor/Vendor administer or perform analysis of the survey? No

I. Information Protection

21. 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.

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

23. Can you confirm that no adverse actions can be taken against participants regarding the participant's answers. Yes

24. 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

25. Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey? No

I.1 Records Schedule

26. 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

26.a. If 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.

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 is unscheduled. A request for records disposition authority for this Survey (and other similar external surveys Servicewide) will be drafted with the assistance of the IRS Records and Information Management (RIM) Program Office. When approved by the National Archives and Records Administration (NARA), it is anticipated that instructions for this survey will include retentions for the datasets/raw data, background documentation, and summary/final reports, as appropriate. 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.

P.1 Data Security

27. 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 PII data will be maintained on laptop computers which includes all the current and required IRS protection software. The Senior Advisor to the NTA (Research) and a Business Assessment Senior Analyst 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 are 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.

28. Does a contractor/vendor administer or perform analysis of the survey? No

M. Civil Liberties

29. 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

30. Will this Survey have the capability to identify, locate, and monitor individuals or groups of people? No

End of Report
