

## Appeals Customer Satisfaction Survey (ACSS) – Privacy Impact Assessment

PIA Approval Date – May 4, 2011

### Survey Overview:

*Authority: Office of Management Budget (OMB) Memorandum (M) 03–22, OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002 & BRRM PVR #10–Privacy Accountability and #21–Privacy Risk Management*

The survey is conducted as part of the IRS agency–wide initiative to monitor and improve taxpayer satisfaction with the service provided. The objectives of this study are to: identify what Appeals staff and managers can do to improve customer service and track customer satisfaction with Appeals' process over time.

### Systems of Records Notices (SORN):

- IRS 00.003--Taxpayer Advocate Service & Customer Feedback & Survey Records
- IRS 44.003--Appeals Centralized Data system
- IRS 44.001--Appeals Case Files
- IRS 42.001--Examination Administrative file
- IRS 24.030--Customer Account Data Engine Business Master File

### About the Survey

#### 1. What persons will the survey to be administered to:

##### A. IRS employees, managers or executive service?

No.

##### B. Taxpayers?

Yes. The vendor/contractor receives:

- Taxpayer's name,
- Address,
- Telephone number (if available),
- Other (non–PII) variables needed for analysis and/or segmentation. Please Note: No Federal Tax Information including TINs will be provided to the vendor. The files are encrypted with Guardian Edge Removable Storage previous to being provided to the vendor

##### C. Others?

#### 2. Explain how participants are chosen:

The participants are chosen via a stratified random sample by category of work. The vendor is provided with all Appeals closed cases during a specific fiscal year.

##### A. List the IRS, Treasury or other Government system(s), applications or data bases that the employee/taxpayer SBU/PII data is extracted or derived from. If data comes from other sources, give complete title of the system.

All of the information is extracted from the Appeals Centralized Database System (ACDS).

##### B. Do the systems described above have a current/valid Privacy Impact Assessment (PIA) on file?

Yes.

**C. Date of the current/valid PIA?**

- Privacy Impact Assessment (PIA) for ACDS – December 17, 2010.

**3. Is the survey voluntary? Yes.**

- **How is notice given that the survey is optional?**

The vendor informs the taxpayer during the initial portion of the telephone call.

**4. Is any identifiable data collected, shared or studied on employees or taxpayers who refuse to take the survey?**

Yes. The taxpayers who refuse to take the survey are logged by the vendor as a means of determining why someone would not take the survey. They may say that the taxpayer is not interested in taking a survey, that they were afraid it was a phishing scheme, they may have simply hung-up the phone. This data is only kept to use as a barometer to determine ways to possibly improve the approach and response rate. The names of the taxpayers refusing to take the survey are not provided to IRS.

**5. How will the survey be conducted?**

**A. Electronically?**

No.

**B. Phone?**

Yes. The taxpayer is informed of a possible customer satisfaction survey call, at the end of the Appeals process, by the Appeals' employee. Stratified random samples of taxpayers are contacted via phone by the vendor. The taxpayer is basically "cold called," and is not made aware of a pending survey call, other than their contact with the Appeals' employee at the end of the Appeals process. Appeals will add statements to the opening and closing Appeals letters stating that the taxpayer may be called concerning a customer satisfaction survey.

**C. Mail?**

No.

**D. Other?**

No.

**6. Who will conduct the survey?**

The survey is conducted by an independent, third-party vendor.

**A. IRS conducted?**

No

- **What information will be provided to the business owners (IRS requestors) of the survey?**

From the vendor, Appeals will receive an initial, one-page summary report of the completed survey highlights and then a comprehensive National Report, which will include all of the detail. The vendor also provides sub-reports on specified areas. Appeals never receives any specific taxpayer information from the vendor in relation to the survey. The vendor provides statistics as "respondents" on the reports or with the unique identifier (via CD-ROM), without any reference to PII data.

- **For employee or taxpayer satisfaction surveys, can you certify that no "raw" or unaggregated employee or taxpayer data will be provided to any IRS office for any reason?**

Yes.

## **B. Contractor conducted?**

Yes

- **Has a Contracting Officer or a COTR certified that the legal requirements are met to engaged a Contractor to perform the Survey and that all required "non-disclosure" clauses are contained in the contract?**  
Yes, the Appeals Customer Satisfaction Survey contract does follow all federal & IRS disclosure requirements per the FAR.
- **What is the level of background investigations completed on contractors prior to receiving SBU/PII data on employees or taxpayers?**  
The vendor/contractor employees will minimally have a "Moderate Risk" (NACIC) investigation before they receive any PII data from IRS–Appeals.
- **What information will the contractor provide to the business owners (IRS requestors) of the survey?**  
The contractor/vendor will provide IRS–Appeals with a Top–Line Report, which is a one-page summary of highlights and major findings from quantitative data. IRS–Appeals will also be provided with a National Report, which will detail the customer satisfaction results, via a combination of charts, tables and figures to best display the results. It will contain sufficient detail to convey how the survey was conducted and the resulting conclusions based on the data. No specific taxpayer information will be provided to IRS–Appeals that would allow the business owner to identify taxpayers.

### **7. How does the administration of the survey guarantee that the SBU/PII data regarding employees or taxpayers is not compromised, lost or stolen: an encryption process used by the contractor?**

The information received by the vendor is encrypted with GERS to meet all IRS I.T. Security requirements. The vendor places all files on their IRS–approved secure, controlled access server. The vendor is required, per the contract, to keep all raw and collected data on a CD-ROM and in a safe and secure environment. Site inspections of the vendor's facility is conducted by IRS staff to ensure all Federal and IRS requirements for physical and I.T. security are in place. The vendor transmits completed reports to Appeals electronically. These reports do not contain PII information and only list the survey results as "respondents." The vendor does provide Appeals with a CD–ROM containing the survey results with the use of the "unique identifier." This identifier replaces the TIN and the remaining information does not contain any PII information. The CD–ROM is sent via FedEx per IRS Secure Mail requirements.

### **8. How is the survey SBU/PII data protected and stored?**

The vendor places all files on their IRS–approved secure, controlled access server. No TINS are provided to the vendor. The vendor is required, per the contract, to keep all raw and collected PII data on a CD–ROM and in a safe and secure environment.

### **9. Is any other Federal or State government data used to create the database of participants?**

No.

### **10. Are the survey results shared with any other Federal or State government office?**

No.

**11. Retention Records: Cite the IRM Chapter and Section/subsection that described how the data is retained, stored and disposed of. Explain how long any SBU/PII data will be retained by the contractor if they are conducting the survey on behalf of the IRS.**

The Appeals Customer Satisfaction Survey is unscheduled. A request for records disposition authority for this Survey (and other similar surveys Service-wide) is currently being drafted with the assistance of the IRS Records and Information Management (RIM) Program Office. When approved by the National Archives and Records Administration (NARA), disposition instructions for this Customer Satisfaction Survey will include retentions for the datasets/raw data, background documentation, and summary final reports. The vendor will maintain all raw data created in the Survey on a CD-ROM in a safe and secure environment for the duration of the mandatory retention period, as approved.

**12. Based on the information you have provided above, does the survey require a Privacy Act Notice to be provided to participants?**

No. The survey is conducted randomly and telephonically.

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