

## EXHIBITS

### Exhibit A-Survey Instrument

**This is the current survey instrument for FY 2011 which TAS will continue to use for FY 2012. There will be no changes to the questions (except for the possible addition of some demographic questions). The FY 2012 survey contractor is not known as this time as TAS is currently in the Procurement process. ICF Macro is the current survey contractor.**

INTRO1.

Hello, this is \_\_\_\_\_, calling from ICF Macro on behalf of the IRS. May I please speak with (name from phone file)?

- 01 Yes, respondent available
- 02 No such person (Thank and Terminate)
- 03 Respondent not available/Not a good time (Set time to call back)
- 98 REFUSED (SELECTED RESPONDENT)
- 99 REFUSED (NON-SELECTED RESPONDENT)
- T TERMINATE
- SP CONTINUE IN SPANISH

Intro2. The Taxpayer Advocate Service is an independent organization within the IRS which helps taxpayers resolve problems with the IRS. I'll refer to it simply as the Taxpayer Advocate. The Taxpayer Advocate recently worked on a problem that you had with the IRS. Do you recall working with the Taxpayer Advocate?

- 01 Yes //GO TO INTRO3//
  - 02 DO NOT RECALL / NEVER USED SUCH A SERVICE //Thank and Terminate//
- DO NOT READ
- 88 REACHED CELL PHONE //GO TO CP//
  - 99 REFUSED //TERMINATE//

CP. Would you prefer that I call you back at another number that is more secure or convenient for you?

- 01 Yes, requested callback at new number //CATI SET CALLBACK and UPDATE//
- 02 No, requested callback at same number //SET APPOINTMENT//
- 99 REFUSED //TERMINATE//

Intro3. The Taxpayer Advocate has asked us to conduct a brief survey of people who used their services to get feedback on how they can improve the services they provide to customers like you. I want to assure you that your answers will be kept private to the extent allowed by law by Macro International and any data provided to the Taxpayer Advocate will be completely anonymous. Do you have about 10 minutes to speak with me?

- 01 Yes //Continue//
- 02 No, REQUESTED CALLBACK //SET APPOINTMENT//

99 REFUSED

//Thank and Terminate//

//If the record shows that the call is being made to a cell phone number, continue with CP1, ELSE GO TO BACKGROUND//

CP1. I see that we may have reached you on a cell phone. Is that correct?

01 Yes //Continue with CP2//

02 No //Confirm number is a land line. Skip to BACKGROUND//

99 REFUSED //TERMINATE//

CP2. May we proceed, or would you prefer that I call you back at another number that is more secure or convenient for you?

01 Yes, proceed with survey //Continue to BACKGROUND//

02 No, requested callback at same number //SET APPOINTMENT//

03 No, requested callback at new number //CATI SET CALLBACK and UPDATE//

99 REFUSED //TERMINATE//

[BACKGROUND]

This survey will ask you questions only about your most recent experiences with the Taxpayer Advocate even though you may have had contacts with other areas of the IRS.

A. Before we get started, are you...?

[Read list]

01 The taxpayer who worked directly with the Taxpayer Advocate?

02 A representative or power of attorney working with the Taxpayer Advocate on behalf of [Taxpayer Name]?

99 REFUSED

[USE OF TAS]

1. Was this the first time you have used the Taxpayer Advocate? [Sa]

01 Yes

02 No

98 (DK/Don't recall)

99 (Refused)

2. How did you learn about the Taxpayer Advocate? [S1] (Allow up to three responses) [DO NOT READ]

- 01 IRS EMPLOYEE, EITHER IN PERSON OR ON A TOLL-FREE LINE
- 02 REFERRAL FROM A NON-IRS SOURCE, OR EVENT WHERE TAS WAS DISCUSSED OR DESCRIBED TO PARTICIPANTS
- 03 REFERRAL FROM A TAX PRACTITIONER, TAX PROFESSIONAL, TAX SERVICE, TAX PREPARATION CLINIC, OR CONGRESSIONAL SOURCE
- 04 TELEPHONE DIRECTORY LISTINGS
- 05 TAS OR IRS GENERATED MEDIA—LITERATURE, ADVERTISING, NEWS STORY, OR INTERNET
  
- 06 OFFICIAL IRS PUBLICATION OR FORM, OR OFFICIAL NOTICE OR LETTER SENT BY IRS
- 07 PREVIOUS EXPERIENCE WITH TAS/GENERAL KNOWLEDGE OF TAS AS PROFESSIONAL TAX PRACTITIONER
- 08 NEVER USED THE TAXPAYER ADVOCATE [04] (THANK & TERMINATE; SAVE CASE ID)
- 09 TAS CALLED TAXPAYER - REFERRAL SOURCE UNKNOWN
  
- 66 OTHER 1 \_\_\_\_\_
- 67 OTHER 2 \_\_\_\_\_
- 68 OTHER 3 \_\_\_\_\_
- 97 NO MORE
- 98 DON'T KNOW/DON'T RECALL
- 99 REFUSED

3. Did you contact anyone else in the IRS before speaking to the Taxpayer Advocate?

- 01 Yes
- 02 No
- 98 (DK/Don't recall)
- 99 (Refused)

[INITIAL CONTACT WITH TAXPAYER ADVOCATE EMPLOYEE]

Now I'm going to ask you some questions about the Taxpayer Advocate employee who helped you with your problem. I would like to focus solely on the Taxpayer Advocate employee who worked on your problem.

4. When you first spoke to the Taxpayer Advocate employee, did the employee tell you what they would do to help you with your problem?

- 01 Yes
- 02 No
  
- 96 (Not applicable)
- 98 (DK/Don't recall)
- 99 (Refused)

5. Did the Taxpayer Advocate employee who helped you give you an estimate of how long it would take to solve your problem?

01 Yes

02 No

96 (Not applicable)

98 (DK/Don't recall)

99 (Refused)

[If Q5 = 01]

6. Did the Taxpayer Advocate employee solve your problem in the timeframe they told you they would?

01 Yes

02 No

96 (Not applicable)

98 (DK/Don't recall)

99 (Refused)

[SUBSEQUENT CONTACT WITH TAXPAYER ADVOCATE EMPLOYEE]

7. Now, I'm going to read you some statements about the Taxpayer Advocate employee who helped you with your problem. For each one, please tell me if you strongly agree, agree, neither agree nor disagree, disagree, or strongly disagree. The Taxpayer Advocate employee...? [Read and rotate A-H]

5 Strongly agree

4 Agree

3 Neither agree nor disagree

2 Disagree

1 Strongly disagree

96 (Not applicable)

98 (DK/Don't recall)

99 (Refused)

A. Listened to your concerns?

B. Did their best to solve your problem?

C. Kept you informed about progress in solving your problem?

D. Showed their concern about helping you solve your problem?

E. Took responsibility for getting your problem solved?

F. Understood all the issues and requests that you presented?

G. Returned your calls?

H. Explained to you why your problem happened?

10. Now I'm going to read you some general statements about the Taxpayer Advocate. Again, please keep in mind that these questions deal just with the organization that worked on solving your problem, the Taxpayer Advocate, and not with other areas of the IRS. Please rate the following statements using the same scale—strongly agree, agree, neither agree nor disagree, disagree, or strongly disagree. How about ...? [Read and rotate A-D]

- 5 Strongly agree
- 4 Agree
- 3 Neither agree nor disagree
- 2 Disagree
- 1 Strongly disagree

- 96 (Not applicable)
- 98 (DK/Don't recall)
- 99 (Refused)

- A. It was easy to reach the person who was helping you at the Taxpayer Advocate by phone.
- B. The written correspondence you received from the Taxpayer Advocate was easy to understand.
- C. You feel your problem was handled in a reasonable timeframe by the Taxpayer Advocate.

[If Q10C = 1 or 2]

C1. What would have been a reasonable timeframe for the Taxpayer Advocate to have handled your problem?

//MUL CODES 01-03. CODES 04, 05, 98, 99 DISCREET//

DO NOT READ:

- \_\_\_\_\_ 01 DAYS
- \_\_\_\_\_ 02 WEEKS
- \_\_\_\_\_ 03 MONTHS
- \_\_\_\_\_ 04 IMMEDIATELY
- \_\_\_\_\_ 05 OTHER, NON-SPECIFIC RESPONSE
  
- 98 DON'T KNOW
- 99 REFUSED

//IF Q10c1=01//  
 Q10c1\_DAYS. ENTER DAYS //RANGE 1-6//

//IF Q10c1=02//  
 Q10c1\_WKS. ENTER WEEKS //RANGE 1-52//

//IF Q10c1=03//  
 Q10c1\_MTHS. ENTER MONTHS //RANGE 1-36//

D. You were treated fairly by the Taxpayer Advocate.

[OVERALL MEASURES]

11. Was your problem solved by the Taxpayer Advocate Service?

[Read List]

01 Yes

02 No

03 Partially

98 (DK/Don't recall)

99 (Refused)

[If Q11 = 02]

11B. Did the Taxpayer Advocate sufficiently explain to you why you did not get the results you wanted?

01 Yes

02 No

03 Partially

98 (DK/Don't recall)

99 (Refused)

12. Thinking only of your experience with the Taxpayer Advocate on your problem and not your other experiences with other parts of the IRS—overall, how satisfied were you with the Taxpayer Advocate? Were you very satisfied, somewhat satisfied, neither satisfied nor dissatisfied, somewhat dissatisfied, or very dissatisfied?

5 Very satisfied

4 Somewhat satisfied

3 Neither satisfied nor dissatisfied

2 Somewhat dissatisfied

1 Very dissatisfied

98 (DK/Don't recall)

99 (Refused)

[If Q12 = 1 or 2]

13. What is the single greatest reason you were dissatisfied with the Taxpayer Advocate? [DO NOT READ]  
[PROBE if multiple reasons given:] If you had to choose only one, what is the most important reason you were dissatisfied?

- 01 Employee did not keep me informed
- 02 Employee didn't do enough to help me (Gave up)
- 03 Employee was not concerned about my issues (Lack of empathy)
- 04 Employee was not fair
- 05 Took too long to solve my problem
- 06 The process was unfair
- 07 The laws/rules are unfair
- 08 Problem isn't resolved
- 09 Didn't receive the outcome I wanted (No refund/No adjustment)
  
- 96 Other \_\_\_\_\_
- 98 (DK/Don't recall)
- 99 (Refused)

[If Q12 = 1 or 2 AND sample record indicates "no adjustment"]

15. Did the Taxpayer Advocate explain why they could not give you the help you wanted with your problem?

- 01 Yes
- 02 No
  
- 96 (Not applicable)
- 98 (DK/Don't recall)
- 99 (Refused)

[If Q12 = 4 or 5]

16. What is the single greatest reason you were satisfied with the Taxpayer Advocate?  
[PROBE if multiple reasons given:] If you had to choose only one, what is the most important reason you were satisfied? [DO NOT READ]

- 01 Employee was very helpful
- 02 Employee was very informative (Communicative)
- 03 Employee was concerned about resolving taxpayer's issues (Empathy)
- 04 Employee followed through very well
- 05 Problem was solved in a timely manner
- 06 Problem was resolved to taxpayer's satisfaction
  
- 96 Other \_\_\_\_\_
- 98 (DK/Don't recall)
- 99 (Refused)

19. Focusing on your entire experience with the Taxpayer Advocate, do you have any SPECIFIC suggestion for how the Taxpayer Advocate could have done a better job for you?

[Probe: What is your most important suggestion or comment?]

01 ENTER RESPONSE //TEXT BOX RANGE 250//  
02 NO SUGGESTION

98 (DK/Don't recall)  
99 (Refused)

20. As a result of your experience with the Taxpayer Advocate, would you say your impression of the IRS in general is much more positive, a little more positive, about the same, a little more negative, or much more negative?

5 Much more positive  
4 A little more positive  
3 About the same  
2 A little more negative  
1 Much more negative

98 (DK/Don't recall)  
99 (Refused)

[READ:] That completes our survey; however, we are required by law to report to you the OMB Control Number for this public information request. That number is 1545-1432. I can give you an address if you have any comments about the time estimate for completing the survey or about ways to improve the survey. Would you like the address? (If "Yes", read:) Please write to the Internal Revenue Service, Tax Products Coordinating Committee, SE:W:CAR:MP:T:T:SP, 1111 Constitution Ave. NW, Washington, DC 20224.

Those are all of the questions I have. On behalf of the Taxpayer Advocate and ICF Macro I would like to thank you for your time.

Q21. INTERVIEWER: IN WHAT LANGUAGE WAS THIS SURVEY CONDUCTED?

01 ENGLISH  
02 SPANISH

## Demographic Questions

TAS is considering adding these questions for the FY 2012 survey after consultation with the the survey contractor.

Which of the following do you have in your household?  
(Check all that apply)

- Personal computer (e.g., desktop or laptop)
- Internet (dial up)
- Internet (broad band or high speed cable)
- Cell phone (pay per minute)
- Cell phone (monthly contract or longer)
- Landline (home telephone)

What is your education level?

- Less than high school
- High School/GED
- Some college
- 2-Year College Degree (Associate's)
- 4-Year College Degree (BA, BS)
- Master's Degree
- Doctoral Degree
- Professional Degree (MD, JD)
- Other (vocational/ technical/ trade)

What is your household income?

- Less than \$25,000
- \$25,000 to \$34,999
- \$35,000 to \$44,999
- \$45,000 to \$54,999
- \$55,000 to \$64,999
- \$65,000 to \$74,999
- \$75,000 to \$99,999
- More than \$100,000

What is your Age?

- Under 18
- 18-24
- 25-34
- 35-44
- 45-54
- 55-64
- 65+

What is your gender (sex)?

(Note: if over the phone- do not ask, have interviewer mark)

- Male

Female

What is your current marital status?

- married
- divorced
- separated
- widowed
- single

What is the primary language spoken in your household?  
(Check one only)

- English
- Spanish
- Chinese
- French
- Tagalog
- Vietnamese
- Korean
- Other

**Exhibit B – Pre-notification letter**

{TAS Logo}

[date]

John Doe  
123 Main Street  
Anytown, CT 66666

Re: [Taxpayer Name if letter is to a POA]

Thank you for allowing the Taxpayer Advocate Service (TAS) to help you with a tax matter. As the National Taxpayer Advocate, I lead TAS's efforts to help taxpayers resolve their problems with the IRS. By taking a short telephone survey, you can let us know what we did well and what we could have done to make your experience with us even better.

**Survey Administration.** We have hired an independent company, XYZ Company, to survey taxpayers or their representatives who recently worked with a TAS employee. A person from XYZ Company will call you [insert timeframe as to when a call can be expected] and ask you to participate in the survey. We estimate that it will take you less than ten minutes to complete this survey.

**Privacy.** XYZ Company employees are required to pass a rigorous security screening process and will not share your individual responses or disclose your identity and personal information to anyone, including us. Your information is required to be kept anonymous as allowed by law.

**Questions or Assistance.** If you do not want to be contacted or have questions about this survey, please contact XXXXXXXXXX at 1-XXX-XXX-XXXX or send an e-mail to [XXXX@XXXX.com](mailto:XXXX@XXXX.com).

**Verification.** To verify the authenticity of our survey, please visit [www.irs.gov](http://www.irs.gov) and enter the search term "[customer surveys](#)." The IRS Customer Satisfaction Survey page contains a list of current IRS surveys, and includes a reference to the Taxpayer Advocate Service survey.

I am committed to providing the best possible service to every taxpayer and your cooperation in answering these questions will help ensure that taxpayers like you receive fair, courteous, and timely treatment. I look forward to hearing about your experience with TAS.

Sincerely,

Nina E. Olson  
National Taxpayer Advocate

OMB control number: 1545-1432

## Exhibit C – Sampling Plan

Since we are in the procurement process for a customer satisfaction contractor for FY 2012, no sampling plan has been prepared for FY 2012. The latest sampling plan is shown below. The current contractor has computed the “Target Sample” based on 95% confidence level with a +/- 5% error rate. Their calculations include factors for proportions (based on historical data) and duplicates (taxpayer who have more than one case with TAS).

<b>FY 2010 COUNT OF CASES SUBJECT TO CUSTOMER SATISFACTION SURVEY</b>		
	<b>Expected 2011</b>	
<b>BY OFFICE</b>	<b>Closure</b>	<b>Target</b>
	<b>Count</b>	<b>Sample</b>
AUGUSTA	454	160
PORTSMOUTH	475	163
BURLINGTON	465	161
BOSTON	1012	198
PROVIDENCE	326	141
HARTFORD	1591	213
ATLANTA CAMPUS	16945	243
ANDOVER CAMPUS	7312	238
KANSAS CITY CAMPUS	10139	241
BROOKLYN	1735	216
MANHATTAN	1621	214
ALBANY	932	195
BUFFALO	4959	235
CINCINNATI CAMPUS	6442	237
AUSTIN CAMPUS	12286	242
BROOKHAVEN CAMPUS	13885	242
SPRINGFIELD NJ	2080	220
PHILADELPHIA	2647	225
PITTSBURGH	1725	216
PHILADELPHIA CAMPUS	12376	242
OGDEN CAMPUS	10760	241
CINCINNATI	2485	224
LAGUNA NIGUEL	3639	231
CLEVELAND	2883	227
INDIANAPOLIS	5882	236
CHICAGO	1447	211
SPRINGFIELD IL	706	183
DETROIT	2788	226
MILWAUKEE	1118	202
ST PAUL	501	165
DES MOINES	741	185
ST LOUIS	5111	235
FARGO	430	157
ABERDEEN	384	150
OMAHA	691	182

<b>FY 2010 COUNT OF CASES SUBJECT TO CUSTOMER SATISFACTION SURVEY</b>		
	<b>Expected 2011</b>	
<b>BY OFFICE</b>	<b>Closure</b>	<b>Target</b>
	<b>Count</b>	<b>Sample</b>
WICHITA	587	174
MEMPHIS CAMPUS	7036	238
WILMINGTON	380	150
BALTIMORE	4825	234
DISTRICT OF COLUMBIA	411	154
RICHMOND	3775	231
PARKERSBURG	731	184
GREENSBORO	2733	226
COLUMBIA	1472	211
ATLANTA	4339	233
JACKSONVILLE	5282	235
LOUISVILLE	753	186
NASHVILLE	5739	236
BIRMINGHAM	1056	200
JACKSON	1623	214
FT LAUDERDALE	5297	235
INTERNATIONAL	2851	227
SACRAMENTO - FY11 half	2410	117
LITTLE ROCK	844	191
NEW ORLEANS	1626	214
OKLAHOMA CITY	1743	216
AUSTIN	2239	222
DALLAS	8283	239
HOUSTON	4953	235
HELENA	701	183
BOISE	404	153
CHEYENNE	460	161
DENVER	3614	231
ALBUQUERQUE	620	177
PHOENIX	1918	218
SALT LAKE CITY	1044	199
LAS VEGAS	945	196
FRESNO CAMPUS	18850	243
SEATTLE	3460	230
ANCHORAGE	1926	219
PORTLAND	2600	225
OAKLAND - FY11 half	2410	117
LOS ANGELES	4078	232
HONOLULU	785	188
	<b>253,776</b>	<b>15,271</b>