

SUPPORTING STATEMENT
Approval Request to Conduct Customer Satisfaction Research
CAS e-Help Desk Survey 2012 – Option Year 1

W&I CAS e-Help Desk Survey 2012 – Option Year 1
October 7, 2011

A. JUSTIFICATION

1. Circumstances Making the Collection of Information Necessary

The e-Help Operations, Strategy, and Support (EOSS) Office resides in the Wage and Investment (W&I) Customer Account Services (CAS) Operating Unit and is responsible for providing policy direction and oversight to five customer contact centers known as the e-Help Desk. The e-Help Desk provides support to external customers who experience technical problem using IRS online electronic products. The e-Help Desk customers include: electronic return originators, enrolled agents, intermediate service providers, reporting agents, financial institutions, software developers, and transmitters. Electronic products include online services such as *e-file*, modernized *e-file*, Electronic Federal Tax Payment System, and e-Services.

Administration: The e-Help Desk customer service call site has identified personnel to monitor calls that match the sampling pattern and to solicit taxpayer participation in the survey. At the end of a call, the team leader notifies the Assistor that the call has been selected for inclusion in the survey. The Assistor asks the customer to participate in the survey. Callers who agree to participate are transferred to the team leader, who then transfers the customer into an automated survey.

2. Purpose and Use of the Information Collection

The purpose of the e-Help Customer Satisfaction Project is to establish baseline customer satisfaction levels and to track e-Help Desk performance over time. The key goals or objectives of the e-Help Customer Satisfaction Project include surveying e-Help Desk customers to identify:

- 1) Customer satisfaction with help desk services (including call handle/hold times, accuracy of assistor responses, etc.);
- 2) Track customer satisfaction (including preferred method of contact); and
- 3) Identify work processes that need improvement.

3. Consideration Given to Information Technology Sample Design

Methodology: This national report summarizes the findings of the five call sites. It covers survey results from calls answered at all of the e-Help Desk call sites. Previously contractor's sampling plan was to complete approximately 400 telephone interviews per site per quarter or approximately 6,400 e-Help Desk telephone customers per year, stratified by each of the five e-Help Desk sites, with a precision margin of 5% and confidence interval of 95%.

Historically when the e-mail option is elected, the contractor planned to complete approximately 10 e-mail interviews per quarter or approximately 40 e-Help Desk e-mail customers per year. A precision margin of 5% and confidence interval of 95% is expected.

4. Efforts Not to Duplicate Research

This is the only study currently conducted service delivery channel for the 5 e-Help sites.

5. Reducing the Burden on Small Entities Expected Response Rate

The survey has been designed to minimize burden on the respondent. The time that a respondent takes to complete a survey has been carefully considered and only the most important areas are being surveyed.

6. Consequences of Not Conducting Collection

The e-Help Desk is a technical support help desk for external customers who use IRS electronic products and is recognized as a key e-government program for IRS modernization projects, including *e-file*, e-services, Electronic Federal Tax Payment System, and Central Contractor Registration (a joint TIN verification project with the Department of Defense).

The e-Help Desk will have access to baseline customer satisfaction data only and will be unable to measure customer satisfaction levels over time. If e-Help Desk cannot measure customer satisfaction over time the organization cannot determine the effectiveness of business operation improvements.

7. Special Circumstances

The statistics derived from the customer satisfaction measures could be used in making management decisions such as business improvement opportunities.

8. Consultations with Persons Outside

N/A

9. Payment of Gift

N/A

10. Confidentiality

All participants will be subject to the provisions of the Taxpayer Bill of Rights II during this study and the vendor will ensure that all participants are treated fairly and appropriately.

The security of the data used in this project and the privacy of taxpayers as allowed by law will be carefully safeguarded at all times. Security requirements are based on the Computer Security Act of 1987 and Office of Management and Budget Circular A-130, Appendices A & B. Physical security measures include a locked, secure office. Notes are stored in locked cabinets or shredded. Data security at the C-2 level is accomplished via the Windows NT operating system. Systems are password protected, users profiled for authorized use, and individual audit trails generated and reviewed periodically.

The IRS will apply and meet fair information and record-keeping practices to ensure privacy protection of all taxpayers as allowed by law. This includes criteria for disclosure—laid out in the Privacy Act of 1974, the Freedom of Information Act, and Section 6103 of the Internal

Revenue Code—all of which provide for the protection of taxpayer information as well as its release to authorized recipients.

The survey will not contain tax return or taxpayer information. Survey participants will not be identified in any of the documents or files used for this project. We will limit and control the amount of information we collect to those items that are necessary to accomplish the research questions. We will carefully safeguard the security of data utilized as well as the privacy of the survey respondents. We will apply the fair information and record-keeping practices to ensure protection of all survey respondents. The criterion for disclosure laid out in the Privacy Act, the Freedom of Information Act, and section 6103 of the Internal Revenue Code provides for the protection of information as well as its releases to authorized recipients.

Security and Safeguarding Requirements

This task order incorporates Section III of BPA TIRNO-10-Q-00038, entitled "Security and Safeguards Requirements" by reference in its entirety just as if these provisions were included in full text. The contractor expressly acknowledges that the requirements of the referenced sections are in full force and effect all times during the task order.

Safeguarding

TIRNO-10-Q-00038, Section 3, Paragraph A (entitled "Safeguarding") is incorporated in its entirety.

The contractor specifically acknowledges the applicability of the following at all times under the task order:

- IRS Publication 1075 (<http://www.irs.gov/pub/irs-pdf/p1075.pdf>).
- The requirement that sampling data sets, raw data, and like information shall not be sent via e-mail, but must be sent by either traceable next-day mail requiring signature or SDT.
- The requirements of the Federal Information Security Management Act of 2002, 44 U.S.C. 3541 *et seq.*
- The requirement that contractor employees complete the *Information Protection and Awareness Briefing Certification Form*.

Authority

TIRNO-10-Q-00038, Section 3, Paragraph B (entitled "Authority") is incorporated in its entirety

The contractor specifically acknowledges the applicability of the following at all times under the task order:

- The general policies regarding the investigative requirements for contractor employees, subcontractors, experts and consultants.
- The requirements of IRM 10.23.2, entitled *Personnel Security, Contractor Investigations*.

Security and Safeguards Clauses

TIRNO-10-Q-00038, Section 3, Paragraph C (entitled "Security and Safeguards Clauses") is incorporated in its entirety.

This task order incorporates the following clauses just as if they were included in full text. All FAR clauses may be found at <http://www.acquisition.gov> and all IRSAP clauses may be found at http://www.irs.gov/pub/irs-procure/guide_irsap_interim.pdf.

- FAR 52.224-1 Privacy Act Notification (Apr 1984)
- FAR 52.224-2 Privacy Act (Apr 1984)
- IRSAP 1052.204-9000 Personal Security Screening Requirements
- IRSAP 1052.204-9001 Identification/Badging Requirements
- IRSAP 1052.204-9003 Information Security Training Requirements
- IRSAP 1052.209-9001 Organizational Conflicts of Interest
- IRSAP 1052.216-9000 Task/Delivery Order Contract Ombudsman
- IRSAP 1052.224-9000 Disclosure of Information
- IRSAP 1052.224-9000(a) Disclosure of Information -- Safeguards (returns and return information)
- IRSAP 1052-224-9000(b) Disclosure of Information -- Safeguards (films and photocopying)
- IRSAP 1052.224-9000(c) Disclosure of Information -- Safeguards
- IRSAP 1052.224-9000(d) Disclosure of Information -- Safeguards (OUO material)
- IRSAP 1052.224-9000(e) Disclosure of Information -- Safeguards (contracts with other federal agencies)
- IRSAP 1052.224-9001(a) Disclosure of Information -- Criminal/Civil Sanctions (SBU data)
- IRSAP 1052.224-9001(b) Disclosure of Information -- Criminal/Civil Sanctions (OUO data)
- IRSAP 1052.224-9002 Disclosure of Information -- Inspection (inspection of contractor site)
- IRSAP 1052.224-9003 Disclosure of Information -- Contractor Acceptance (contractor modification)

The following non-disclosure agreement is applicable to this task order: *Non-disclosure Agreement TDP 71-10* found at <http://intranet-apps2.cio.treas.gov/security/secmanual/ch2sec2.pdf>.]

Privacy Requirements

TIRNO-10-Q-00038, Section 3, Paragraph D (entitled "Privacy Requirements") is incorporated in its entirety. The contractor specifically acknowledges receipt of information from one or more of the system of records identified in this section, and also acknowledges the requirements for protection of this information as set forth in the cited section.

Physical and Computer Security of Federal Tax Information (FTI)

TIRNO-10-Q-00038, Section 3, Paragraph E (entitled " Physical and Computer Security of Federal Tax Information (FTI)") is incorporated in its entirety. The contractor acknowledges the requirements for the protection of FTI.

Security -- HSPD-12

TIRNO-10-Q-00038, Section 3, Paragraph F (entitled "Security -- HSPD-12") is incorporated in its entirety. The contractor specifically acknowledges that the requirements of the Federal Information Security Management Act (FISMA) Title III of the E-Government Act of 2002, P.L. 107-347, are applicable to this task order. The FISMA security reviews for this contract have been determined to be of a moderate sensitivity impact level in the areas of confidentiality, integrity, and availability.

Secure Data Transfer (SDT) Requirements

TIRNO-10-Q-00038, Section 3, Paragraph G (entitled "Secure Data Transfer (SDT) Requirements") is incorporated in its entirety. The contractor specifically acknowledges the Secure Data Transfer requirements of this section.

11. Sensitive Nature

No questions will be asked that are of a personal or sensitive nature.

12. Burden of Information Collection

The survey interview is designed to minimize burden on the taxpayer. The time that a respondent takes to complete the phone survey is carefully considered and only the most important areas are being surveyed. The average time of survey completion is expected to be 8 minutes. The questions are generally one sentence in structure and on an elementary concept level.

The e-Help Desk Survey is attached. Completion each interview is expected to take approximately 8 minutes. The questionnaire includes rating questions and open ended questions with a 50% response rate estimated. Respondents: 6,400 completed interviews x 8 minutes 853 hours. Non-respondents: 6,400 attempts x 1 minute 107 hours. Thus, the total burden hours for the survey would be (853 + 107) 960 burden hours.

The contractor will document the sampling plan, including 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.

BURDEN HOURS Estimate Calculation

Category of Respondent	No. of Respondents	Participation Time	Burden
Respondents	6,400	8 minutes	853 hrs
Non Respondents	6,400	1 minute	107 hrs
Total			960 hrs

Total Burden = 960 hours

Response Rate Estimate: 50%

13. Costs to Respondents

N/A

14. Costs to Federal Government**\$66,118.30****15. Reason for Change**

N/A

16. Tabulation of Results, Schedule, and Analysis Plans

The analysis and reporting for the e-Help Desk Survey will be completed in-house by W&I Research and Analysis (WIRA). There are four quarterly summary reports and one annual report planned for the survey. The analysis team will use basic and advanced statistical techniques including, but not limited to, analysis of variance and the prioritization of improvement priorities using established research and statistical methods.

17. Display of OMB Approval Date

N/A

18. Exceptions to Certification for Paperwork Reduction Act Submissions

N/A

19. Dates collection will begin and end

Data will be collected January 1, 2012 – December 31, 2012. Analyzing the data and producing the report will be January 1, 2013 – March 31, 2013.

B. STATISTICAL METHODS

The primary purpose of these collections will be for internal management purposes; there are no plans to publish or otherwise release this information.

1. Universe and Respondent Selection

The sampling frame consists of W&I taxpayers who call in to the e-Help Desk for assistance.

2. Procedures for Collecting Information

Participants for the survey will be randomly selected and offered the survey.

3. Methods to Maximize Response

Standard procedures will be used in order to obtain the highest response rate possible for the e-Help Desk Customer Satisfaction Survey.

4. Testing of Procedures

The function and the contractor have worked together to refine the survey instrument over the years to ensure the right questions are being asked from the IRS' perspective and the taxpayer's perspective.

5. Contacts for Statistical Aspects and Data Collection

For questions regarding the study or questionnaire design or statistical methodology, contact:

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Attachments

The Paperwork Reduction Act requires that the IRS display an OMB control number on all public information requests. The OMB Control Number for this study is 1545-1432. Also, if you have any comments regarding the time estimates associated with this study or suggestions on making this process simpler, 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.