

SUPPORTING STATEMENT
Approval Request to Conduct Customer Satisfaction Research
Technical Services Operations

W&I CAS TSO IR Help Desk Survey

A. JUSTIFICATION

1. Circumstances Making the Collection of Information Necessary

The Internal Revenue Service (IRS) enlists a balanced measurement system consisting of business results, customer satisfaction, and employee satisfaction. This initiative is part of the Service-wide effort to maintain a system of balanced organizational performance measures mandated by the IRS Restructuring and Reform Act (RRA) of 1998. This is also a result of Executive Order 12862 that requires all government agencies to survey their customer.

The Technical Support Operations (TSO) 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 Information Return Help Desk. The TSO IR Help Desk provides support to external customers who experience technical problem using IRS online electronic products. The TSO IR 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.

2. Purpose and Use of the Information Collection

The purpose of the TSO Customer Satisfaction Survey is to establish baseline customer satisfaction levels and to track TSO IR Help Desk performance over time. The key goals or objectives of the TSO Customer Satisfaction Survey include surveying TSO IR 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

The TSO Customer Satisfaction Survey will be administered by web on a monthly basis.

4. Efforts Not to Duplicate Research

This is the only study currently conducted service delivery channel for the TSO IR Help Desk.

5. Reducing the Burden on Small Entities

N/A

6. Consequences of Not Conducting Collection

The TSO IR 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 TSO IR Help Desk will have access to baseline customer satisfaction data only and will be unable to measure customer satisfaction levels over time. If TSO IR 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 to the extent 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-Z-00011, 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-Z-00011, 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-Z-00011, 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-Z-00011, 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-Z-00011, 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-Z-00011, 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-Z-00011, 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 privacy to the extent allowed by law, integrity, and availability.

Secure Data Transfer (SDT) Requirements

TIRNO-10-Z-00011, 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 interview is designed to minimize burden on the taxpayer. The time that a respondent takes to complete the web 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 TSO Survey is attached. Completion each survey is expected to take approximately 8 minutes. The questionnaire includes rating questions and open ended questions the population/sample size (4000 with 50% resulting in 2000) with a 50% response rate estimated. Respondents: 2,000 completed interviews x 8 minutes 267 hours. Non-respondents: 2,000 attempts x 1 minute 33 hours. Thus, the total burden hours for the survey would be (267+ 33) 300 burden hours.

BURDEN HOURS Estimate Calculation

Category of Respondent	No. of Respondents	Participation Time	Burden
Respondents	2,000	8 minutes	267 hrs.
Non Respondents	2,000	1 minute	33 hrs.
Total			300 hrs.

Total Burden = 300 hours

Response Rate Estimate: 50%

13. Costs to Respondents

N/A

14. Costs to Federal Government

\$50,321.12

15. Reason for Change

N/A

16. Tabulation of Results, Schedule, and Analysis Plans

The analysis and reporting for the TSO IR 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 September 2015– December 31, 2015. Analyzing the data and producing the report will be January 1, 2016 – March 31, 2016.

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 TSO IR Help Desk for assistance. FMG added a pre-recruitment question to the survey that asks respondents if they would be willing to participate in future research and to provide their telephone number. This has enabled us to easily recruit participants for focus groups. Developing a panel of pre-qualified, volunteer TSO survey respondents provides a ready-made list for conducting follow-up surveys or focus groups from hard-to-recruit populations. We can also add a request for email address which will enable online follow-up surveys thereby reducing time and costs for special projects. Having email addresses also makes possible more advanced surveys, such as the conjoint studies FMG has conducted. Survey respondents are assured anonymity of their individual responses.

2. Procedures for Collecting Information

Administration: The TSO IR Help Desk site has identified personnel to monitor calls that match the sampling pattern and to solicit taxpayer participation in the survey by email. Participants for the survey will be randomly selected and offered the survey.

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.

FMG will not provide any identifying information to the IRS along with your survey responses. We hold your identity private to the extent permitted by law. Please feel confident that your answers will be used solely for the purpose stated above.

- The survey can be accessed at: [URL]
- Your passcode is: [vendor assigned code]

To verify the authenticity of this survey, you may visit <http://www.irs.gov/uac/Customer-Satisfaction-Surveys> for a list of valid and current IRS surveys.

3. Methods to Maximize Response

As with any IRS survey, maximizing survey response rates and thus minimizing non-response bias, without creating the perception of harassment among respondents is of high importance. Non-response bias comes about when both of the following conditions are present: (a) not everyone in the sample selected responds to the survey; and (b) responses to key survey questions from those who do not respond are substantially different from those who do respond. Practically speaking, the first condition is virtually always present to some degree—response rates are never 100%, especially in customer satisfaction surveys where responses are voluntary and this is emphasized to potential respondents at the time the survey is administered. The second condition may or may not be present, but should be addressed in any survey project that employs “best practices” of survey design and execution.

There are three common ways to address non-response: (1) use procedures to minimize its occurrence (effective invitation script and well-designed questionnaire); (2) apply weighting procedures to adjust aggregated data from those who do respond (responder/non-responder analysis); and (3) attempt to reach some initial non-respondents to measure the effects of non-response and adjust the aggregated data accordingly. FMG uses the first technique on all of the IRS’s customer satisfaction surveys. To minimize non-response, the questionnaire length is minimized to reduce respondent burden, respondents are assured anonymity and privacy to the extent allowed by law of their responses. The second technique is applied to W&I’s TSO survey; FMG routinely weights IRS survey data when descriptive data are available from the sampling universe for comparison. The issue of weighting is discussed below in the Work Plan. Finally, we have used the third technique in other IRS surveys where it has proven to be effective for some populations.

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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