Date of Approval: 05/30/2024
Questionnaire Number: 1203

Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

Tax Professional Journey Using IRS Resources and Applications

Business Unit

Taxpayer Experience Office

Preparer

For Official Use Only

Subject Matter Expert

For Official Use Only

Program Manager

For Official Use Only

Designated Executive Representative

For Official Use Only

Executive Sponsor

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

The Internal Revenue Service (IRS) uses a balanced measurement system consisting of business results, taxpayer satisfaction, and employee satisfaction. The use of these balanced organizational performance measures is mandated by the IRS Restructuring and Reform Act (RRA) of 1998. In addition, Executive Order 12862 requires all government agencies to survey their taxpayers and to incorporate taxpayer experience data in process improvement efforts. The Taxpayer Experience Office (TXO) mission is to enrich all IRS interactions through an IRS wide customer-centric approach. The TXO leads subject matter experts in identifying changing taxpayer expectations and industry trends while facilitating customer-centric best practices to ensure all IRS customers are empowered and supported when engaging with the IRS. The TXO accomplishes this by collaborating with internal and external stakeholders. The IRS Nationwide Tax Forum (NTF) sponsored each year by the IRS and the 2024 H&R Block Franchise Tax Forum offers a unique opportunity to ask for the opinions, experiences, and ideas of tax professionals about important issues for taxpayers and the IRS. This feedback is invaluable in shaping targeted solutions that will enhance the future of IRS services for both taxpayers and tax professionals. These focus group sessions will delve into how tax professionals use IRS services and resources to resolve client account issues. Further, these sessions will explore the decision-making processes and strategies tax professionals use when selecting a path to resolve an issue as well as any challenges they might face.

Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?

Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).

Project will use practitioner name, email and telephone numbers solely for the use of registration, scheduling and issuing reminders.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Address
Email Address
Employment Information
Name
Other
Telephone Numbers

Please explain the other type(s) of PII that this project uses.

First name, city, their organization role and the how long they have been preparing tax returns.

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

Product Information (Questions)

1.1 Is this survey a result of the Inflation Reduction Act (IRA)?

Yes

1.12 What is the IRA Initiative Number?

1.2 Expand digital services and digitalization
1.7 Provide legal certainty
1.9 Help taxpayers understand and claim appropriate credits and deductions

1.13 What is your research method(s) used (i.e., survey, telephone interview, focus group, etc.)?

Focus Group

1.14 Is this a new survey, telephone interview, focus group, or usability testing? Throughout the rest of this questionnaire, we will use the term "survey" to include all of these.

Yes

1.19 Which Business Unit (BU) is requesting this survey?

Taxpayer Experience Office

1.21 Who will the survey be administered to?

External survey. Participants for this project will be recruited from individual attendees at the 2024 IRS Nationwide Tax Forums, 2024 H&R Block events and future practitioner events.

1.22 Is this a reoccurring survey?

No

1.22 What is the start date?

7/1/2024

1.22 Will the survey be administered annually (3-year expiration)?

No

1.22 Will this survey be administered for one year with multiple events (1-year expiration)?

Yes

1.23 What is the end date?

6/30/2025

2.11 Will the survey capture any type of PII or is PII (names, addresses, email addresses, etc.) used to select participants?

Yes

2.12 If any PII data is collected, disclosed, or studied on individuals who choose not to participate, please describe the data.

Name, E-Mail and phone number.

2.13 List any linkable data that the survey uses, collects, receives, displays, stores, maintains, or disseminates (gender, ethnicity, parts of address, tax filing information, etc.) or uses to select participants?

Name, E-Mail and phone number.

2.14 Explain how the participants are selected. Include a detailed description. Please provide your research plan as supporting documentation.

The market segment of interest for this research consists of practitioners attending the 2024 IRS Nationwide Tax Forum, 2024 H&R Block events and future practitioner events who have called the IRS and used any IRS digital or online services in the past three years.

2.15 How are the participants notified (letter, postcard, email, etc.) of the survey, and if the survey is voluntary/optional, how is notice given? If it is not voluntary, please explain why it is mandatory.

Participants for this project will be recruited from individual registered attendees at the 2024 IRS Nationwide Tax Forums (NTF), 2024 H&R Block events and future practitioner events. At the IRS NTF, individuals will be recruited in-person, through an announcement within the conference guide, IRS Nationwide Tax Forum conference website and during seminar announcements. Participants at the H&R Block forum will be recruited prior to the event via a solicitation email crafted by Taxpayer Experience Office (TXO) and provided to H&R Block to disseminate to their franchise owners registered to attend the event. Other practitioner events will follow the same format as appropriate. No small entities will be contacted or recruited for participation in these focus groups.

3.11 What tool(s) is/are used to conduct the survey? Please indicate if the anonymous feature has been set for the survey, if applicable.

Trained moderators will conduct focus groups in person at the 2024 NationwideTax Forums, H&R Block Practitioner events and future Practitioner Forums.

3.12 Will the survey be audio-recorded or video-recorded?

No

4.11 Does this survey retrieve information by any personal identifier for an individual who is a U.S. citizen, or an alien lawfully admitted for permanent residence? If the answer is Yes, you must have at least one SORN name and number selected in the SORNs section.

Yes

4.12 The Privacy Act of 1974 (5 USC § 552a(e)(3)) requires each agency that maintains a system of records to inform each individual requested to supply information about themselves. Do survey participants provide information about themselves?

Yes

4.13 Please provide the Privacy Act Statement.

Our legal authority to collect PII for federal tax administration- generally derives from IRC 6001, 6011, or 6012. We are requesting this information to improve our service to you and overall customer experience. The information you provide allows the IRS to analyze the role of taxpayer burden in tax administration. This information is also used to fulfill the IRS' statutory obligations to the Office of Management and Budget and Congress for information required by the Paperwork Reduction Act, and to provide tax policy analysis support to the Office of Tax Analysis at the Department of the Treasury. The System of Records Notice numbers are IRS 00.001- Correspondence Files and Correspondence Control Files and IRS 10.004- Stakeholder Relationship Management and Subject Files. This information will also help us to better understand taxpayer needs and burden reduction opportunities. Your responses are voluntary. Not answering all or part of the questions will not affect you except we will not have the benefit of your input to improve our service to you.

4.14 Does the IRS administer (conduct) the survey?

Yes

4.15 Provide the name of the IRS office administering the survey.

Taxpayer Experience Office

4.18 Does the IRS perform analysis of the survey results?

Yes

4.19 Provide the name of the IRS office performing the analysis of the survey.

Taxpayer Experience Office. TXO will summarize the findings regarding overall themes that emerged from the focus group session. There will be no information within any report that could identify an individual participant.

4.27 Identify the roles and their access level to the PII data.

Data will be stored in a restricted secure folder on the TXO SharePoint Online file server and will be destroyed when archived, immediately after use. The office of Privacy Compliance and Assurance will be notified when the data has been destroyed. Only TXO employees assigned to the project will have access to the data maintained in a restricted access folder on a secure server.

4.28 Explain the precautions taken to ensure the survey results will not be used for any other purpose not listed in the Detailed Business Purpose and Need section and to ensure that employees or taxpayers who participate in the survey cannot be identified or re-identified under any circumstances and no adverse actions taken.

At project completion, findings and results are presented to the customer along with a review of how the results will be used to assure they will be used for their stated purpose. Only TXO employees assigned to the project will have access to the data maintained in a restricted access folder on a secure server. Data will be used for analysis purposes only; any aggregated information will be destroyed after use.

4.29 Does the administrator of the survey have access to information identifying participants?

Yes

5.11 For employee or taxpayer satisfaction surveys explain how you have ensured that no "raw" or unaggregated employee or taxpayer data will be provided to any IRS office.

The results will be aggregated, and no identifying information will be included in the deliverable to the customer. Focus group notes will be consolidated and summarized.

5.13 Does the individual about whom the information was collected or maintained expressly authorize its collection/maintenance?

No

Interfaces

Interface Type

IRS or Treasury Contractor

Agency Name

IRS

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

Registration and reminders will be emailed or sent via text to participants.

Interface Type

Other Organization

Agency Name

Tax Practitioner Organizations

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Other

Other Transfer Method

Aggregated results presented to customer in a presentation format without PII or identifying info.

Interface Type

Other Organization

Agency Name

H & R Block The Tax Institute

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Other

Other Transfer Method

Aggregated results presented to customer in a presentation format without PII or identifying info.

Interface Type

IRS or Treasury Contractor

Agency Name

IRS

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Other

Other Transfer Method

Aggregate results will be presented and shared via secure email to customer (BOD) without PII.

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.

To track correspondence including responses from voluntary surveys.

SORN Number & Name

IRS 10.004 - Stakeholder Relationship Management and Subject Files

Describe the IRS use and relevance of this SORN.

To track stakeholder relationships and inform individuals about tax administration.

Records Retention

What is the Record Schedule System?
General Record Schedule (GRS)
What is the retention series title?
Public customer service operations records
What is the GRS/RCS Item Number?
GRS 6.5 010
What type of Records is this for?
Electronic
Please provide a brief description of the chosen GRS or RCS item.
Records will be destroyed 1 year after resolved, or when no longer needed for business use, whichever is appropriate.
What is the disposition schedule?
Records will be destroyed 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

Data Locations

What type of site is this?
SharePoint Online (SPO) Collection
What is the name of the SharePoint Online (SPO) Collection?
Focus Group Project Work - Restricted Folder
What is the sensitivity of the SharePoint Online (SPO) Collection?
Personally Identifiable Information (PII) including Linkable Data
What is the URL of the item, if applicable?
https://irsgov.sharepoint.com/:f:/r/sites/TXO/IRA%20and%20CHIPS%20Focus%20Group%20Restricted%20Access%20Archiv/Restricted%20Folder?csf=1&web=1&e=8svSZN
Please provide a brief description of the SharePoint Online (SPO) Collection.
Permission Restricted SharePoint/Share Drive folder for internal TXO use only.
What are the incoming connections to this SharePoint Online (SPO) Collection?
Manual entries only.
What are the outgoing connections from this SharePoint Online (SPO) Collection?
No outgoing connections from this SPO Collection.