

Date of Approval: 06/17/2024
Questionnaire Number: 1329

Basic Information/Executive Summary

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

2024 Nationwide Tax Forum UES Research

Business Unit

Office of Online Services

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.

Understanding the common issues tax professionals encounter while working with Individual and Business Taxpayers, and what tools (e.g., IRS.gov, Tax Pro Account, 3rd party software, etc.) they utilize to resolve those issues. Understand tax professionals' needs and expectations when completing routine tasks in Tax Pro Account, specifically Tax Pro Account discovery, authorizations, new client management and business client management. Identify specific pain points and explore how those pain points impact Tax Pro Account adoption. Identify types of digital communications that tax professionals utilize (e.g., chatbot, live chat, secure 2-way messaging, etc.) and explore how to maximize usages and remove pain points.

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).

These sessions will be audio recorded. Only IRS employees directly on the Nationwide Tax Forum team will have access to the recorded sessions. During the session, only first names of the participant and IRS employees will be used. The recordings will be retained for a max of 30 days to allow for notes to be captured. No PII will be captured in notes from the session. Recordings will be stored on an IRS secure server and destroyed after 30 days

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

Biometric Information

Centralized Authorization File (CAF)

Name

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

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

PII for personnel administration - 5 USC

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?

1.4 ,1.3

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

Survey, usability testing and interview

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?

Office of Online Services

1.21 Who will the survey be administered to?

Tax Pro individuals and business clients

1.22 What is the start date?

07/09/2024

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

Yes

1.22 Is this a reoccurring survey?

Yes

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

Yes

1.23 What is the end date?

09/11/2024

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.

Any screener data of participants who chose not to participate in the interviews will not be retained.

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 and Centralized Authorization File

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

The criteria to be recruited is participant must have a CAF # and must have submitted Form 2848 (aka POA) or Form 8821 (aka TIA) in the past. Participant must have more than one year of experience, and we are targeting individual and business clients. Participant must have experience using IRS.gov and Tax Pro Account but we're also aiming on getting tax pros who do not have experience with Tax Pro Account. Participant must have agreed to have session recorded.

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.

Descriptions of the study sessions will be included in NTF advertisements via National Public Liaison (NPL) prior to the conference and signage at the conference. Recruitment will take place in person starting on the first day of the conference in each city. If there are no-shows, we will attempt to recruit a replacement in real-time and use a condensed version of the mod guide. Researchers will tell participant that participation is voluntary prior to research session and at the time of recruiting.

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.

IRS Mac Laptop and Microsoft teams will be the tools used to conduct the survey.

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

Yes

3.13 Provide the consent method and statement.

Before survey begins, we will ask participant for their verbal consent.

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.

The authority requesting the information is 5 USC 301. The primary purpose of asking for the information is to determine steps the Internal Revenue Service (IRS) can take to improve our services to you. We are interested in collecting trends on the taxpayer experience, and individual responses will never be singled out. Please also note, that your results reported as a summary of everyone we talk to. The information may be disclosed as authorized by the routine uses published for the following Privacy Act System of Records: (1) IRS 00.001 Correspondence Files and Correspondence Control Files. Your participation is entirely voluntary, and you are free to exit the session at any time. While we would like the benefit of your insight to improve our website and service to you, there are not adverse

consequences to you to not taking the survey. This interview should take approximately one hour.

4.14 Does the IRS administer (conduct) the survey?

Yes

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

Office of Online Services

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.

Office of Online Services

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

All IRS survey admins have completed background investigations at a moderate level.

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.

Any notes taken during sessions will not include names or PII. Only National Taxpayer Forum researchers will have access to the notes. We will use first names only and names will not be used in any reports. The recordings will be retained for a max of 30 days to allow for notes to be captured.

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.

No PII will be captured in notes from the session and include the statement no raw or unaggregated taxpayer or employee data will be provided to any IRS office. Limited number of people (administrators) will have access to the data and once the aggregated data is sent to the BU then the original data is destroyed.

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

No

5.14 If the First Amendment information will be used as the basis to make any adverse determination about an individual's rights, benefits, and/or privileges, explain the determination process. Consult with IRS General Legal Services to complete this section.

No

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

SharePoint

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Other

Other Transfer Method

We type participant information

Interface Type

Forms

Agency Name

NTF Appointment Card

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

We will write down participant information on the appointment card

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 collect user feedback during IRS research activities, such as surveys, user interviews, and user testing.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

6.5- Public Customer Service Records

What is the GRS/RCS Item Number?

10

What type of Records is this for?

Electronic

Please provide a brief description of the chosen GRS or RCS item.

Public Service Operations Records, temporary

What is the disposition schedule?

Destroy 1 year after resolved

Data Locations

What type of site is this?

SharePoint Online (SPO) Collection

What is the name of the SharePoint Online (SPO) Collection?

NTF 2024

What is the sensitivity of the SharePoint Online (SPO) Collection?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the SharePoint Online (SPO) Collection.

It is being used to save the audio recording

What are the incoming connections to this SharePoint Online (SPO) Collection?

We will transfer the recording from teams to SharePoint collection and it will be destroyed after 30 days.