

Date of Approval: 06/18/2024
Questionnaire Number: 1375

Basic Information/Executive Summary

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

Individual Online Account-In App Notification User Testing

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.

The purpose of this study is to evaluate Individual Online Account's (IOLA) most recent redesign of in app notifications. The Office of Online Services (OLS) User Experience Design (UXD) Researchers will conduct qualitative research through usability testing with taxpayers to evaluate the updated in-app notification designs focused on feature placement, grouping and possible sections. The goal of the research findings will be to use gathered taxpayer insights to support functional and technical design decision made during elaborations. This research builds on previous usability testing on IOLA's in-app notifications from July 2023.

Additional in-app notification work meets the following IRA 1.8 demands: receiving information and reminder alerts, personalizing what information taxpayers include to inform their alerts, building capability for taxpayers to inform the IRS of life changes, and receive educational content and building an inter-agency strategy to provide information to taxpayers. OLS will be working with a vendor to support participant recruitment for this study. Participant information is protected by the vendor's proprietary and fully secure database

store in an encrypted format on their private servers. Participant information is never transferred or stored on IRS employee local laptops or IRS cloud servers.

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).

OLS will be working with a vendor to support participant recruitment for this study. Participant information is protected by the vendor's proprietary and fully secure database store in an encrypted format on their private servers. Participant information is never transferred or stored on IRS employee local laptops or IRS cloud servers. Vendor PII Statement: Participant information is protected by the vendor's proprietary and fully secure database store in an encrypted format on their private servers. Survey data collected by the IRS will not include PII. Survey data will first be collected via IRS Microsoft Teams. Collected data will be stored in encrypted files on IRS SharePoint, a secure server. It will be viewed only by members of the Office of Online Service's Individual Online Accounts Team with a need to know. Transfer of survey data will be via secure IRS email or IRS SharePoint secure server links. Survey notes and data collected during usability testing sessions will not include any participant PII and survey notes and data will only be viewed by researchers with a need to know. All data collected from usability testing sessions will be destroyed in accordance with IRS destruction guidelines and no later than 1 year after study completion.

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

Biometric Information

Citizenship or Migration Status

Other

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

Age, tax filing history

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?

IRA 1.8

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

User Testing

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?

Taxpayers

1.22 What is the start date?

06-17-2024

1.22 Is this a reoccurring survey?

No

1.23 What is the end date?

08-17-2024

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.

Not Applicable, 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?

Age, current residency, current/previous employment, tax filing history, filing status, race/ethnicity, English proficiency, education, gender, household annual income, email, phone.

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

To stay within the bounds of Office of Management and Budget/Paperwork Reduction Act requirements for collecting information and to ensure sufficient data to make meaningful conclusions, we will be conducting usability tests with up to 8 participants. Vendor team BLN24 will recruit participants for the usability tests using their internal database of volunteer participants. They will send an email to potential participants asking to take an online screener to determine their eligibility. The participants have self-registered with the vendor team BLN24 to conduct their surveys. The participants have voluntarily accessed the vendor's website to self-register and in doing so have volunteered to be contacted by phone or email to be part of future market research studies. The vendor team BLN24 maintains a database for these potential participants. As part of the vendor team BLN24 contract, they will contact the third-party vendor who will then use the potential participants listing to contact possible participants by email. Within the email they are notified of an upcoming survey event, the dates and times are shared with the potential participants. The participants are asked to indicate if they can participate in a screener survey (also referred to as a qualifying questionnaire). The selection for this study is based on certain criteria, the participants responses to a screener questionnaire and their availability to participate. The recruitment vendor will maintain the participant's privacy by keeping their data in a secure database stored in an encrypted format on their private server. Upon study completion, any recruitment data will be destroyed within 1 year.

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 are notified by the participant's preferred contact method, email or phone. Participation is voluntary. Notice is given in an email or phone call informing participants of the survey participation opportunities: Providing feedback is voluntary and confidential. Any responses you provide are completely voluntary. During usability testing, the moderator will read the statement informing participants their participation is voluntary.

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.

For usability testing, Microsoft Teams will be used and a unique meeting link and telephone joining number will be generated for each session as they are scheduled.

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

Yes

3.13 Provide the consent method and statement.

We are making a video recording of the computer screen during this session, but your name and personal information will not be put together with the recordings or your responses. Other project staff may listen to the recording later.

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 this information is 5 USC 301. The primary purpose of asking for the information is to determine steps the IRS can take to improve our services to you. The information may be disclosed as authorized by the routine uses published in the following Privacy Act System of Records: (1) IRS 00.001 Correspondence Files and Correspondence Control Files and (2) IRS 10.004 Stakeholder Relationship Management and Subject Files. Providing the information is voluntary. Not answering some or all the questions will not affect you.

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 and vendor team BLN24

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.
Researcher - No access to PII Note taker - No access to PII Observers - No access to PII Designers - No access to PII Stakeholders - No Access to PII

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.

IRS research staff do not store or collect PII. During usability testing sessions, participant's camera remains off and the participants name is anonymized (ex. P1, P2, P3, etc.). OLS will be working with a vendor to support participant recruitment for this study. Participant information is protected by the vendor's proprietary and fully secure database store in an encrypted format on their private servers. Participant information is never transferred or stored on IRS employee local laptops or IRS cloud servers.

4.29 Does the administrator of the survey have access to information identifying participants?
No

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.
In reporting to IRS offices, researchers will not connect information collected with employee names or email addresses. Final reports will contain only aggregated employee feedback and will contain no names or emails.

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

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

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.

Vendor Team BLN24 will be tracking responses for recruitment for the usability test.

SORN Number & Name

IRS 10.004 - Stakeholder Relationship Management and Subject Files

Describe the IRS use and relevance of this SORN.

IRS is working with vendor team BLN24, a stakeholder team with a relationship to the IRS.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

6.5 - Public Consumer 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 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?

UXD Home

What is the URL of the item, if applicable?

<https://irsgov.sharepoint.com/sites/IECATRQB/SitePages/UXD%20Home.aspx>

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

This SharePoint is used to store files from the Office of Online Service's User Experience team

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

Data from study session notes or final reports will be saved to a dedicated and secure folder within the UXD SharePoint site. Study notes and final reports do not include any PII.

What are the outgoing connections from this SharePoint Online (SPO) Collection?

Outgoing data will be in the form of final reports from the study. Final reports will be shared as secure links from the UXD SharePoint, or PowerPoint documents. Final reports do not include any PII.