

Date of Approval: 05/23/2024
Questionnaire Number: 1328

Basic Information/Executive Summary

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

Business Tax Account

Business Unit

Information Technology

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 the Business Tax Account (BTA) usability testing surveys is to gather insight and data that helps the BTA team and Information Technology (IT) evaluate and improve the use of Online Account's products and websites (from early design stages to in-production). The BTA team will conduct "moderated" survey sessions, which involve the active participation of a moderator which will be conducted remotely. Usability testing can provide both quantitative and qualitative data depending on how the research is structured.

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).

In order to facilitate the survey and select appropriate participants (that use the various online products and services offered and under construction) additional SBU/PII data is needed; participants may be asked to provide the following information about themselves; their age range, gender, household size, household income range, marital status, US residency status, ethnicity, education, language(s) proficiency, disability status/impairment type (this helps the BTA team provide the tools they require to participate in the survey, such as assistive technologies used or needed for ASL interpreter).

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

Biometric Information

Email Address

Employment Information

Name

Other

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

Age, gender, race, role within a business (e.g., owner, CEO), type of business (e.g., s-corporation)

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 Objective 1.4

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

All sessions will be conducted remotely via Teams or ZoomGov. At the scheduled time, the respondent will join the remote meeting with the Deloitte moderator. To supplement notes taken during the session, the screen and audio

will be recorded using locally run software. The participants will be asked to keep their camera off, so only their audio/actions on screen will be captured. Observers will also be able to watch and listen in real time via Teams or ZoomGov.

Participants are informed of and consent to being observed. At no time will the observers interact with the participants, and only aggregated and de-identified PII will be shared in the reports. Information about a specific participant will never be attributed to specific responses or insights. Observers will be stakeholders from both Treasury/IRS and Deloitte. Treasury/IRS observers are employees or their representatives who are either assisting with the administration of the user research activity or have a vested business interest in the insights from the user research activity. Deloitte observers are employees who work on administering the user research activity to include the moderator, project lead, notetaker, designers, and content creators/developers. There will be up to 10 observers each from Treasury/IRS and Deloitte. The moderator and designated notetaker will take the notes that will be used for report synthesis. Observation by stakeholders provides several benefits, including, but not limited to, creating an empathic connection to the taxpayers as they attempt to use a product or a website to achieve their goals, allowing stakeholders to experience the participant's emotional and mental burden for themselves, and fostering collaboration and insights in order to improve the taxpayer's experience.

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?

Information Technology (IT) Enterprise Program Management Office (EPMO)

1.21 Who will the survey be administered to?

Participants are selected from a database of individuals who have opted in to participate in a variety of market research studies. Selection of participants is made based on self-identified knowledge of various tax related processes, forms, or services, and the potential participant's availability. Individuals must have opted in to participate in a variety of market research studies before the data is saved and/or shared with the vendor, Deloitte.

1.22 Is this a reoccurring survey?

No

1.22 What is the start date?

June 2024

1.23 What is the end date?

July 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.

Participants are selected from a database of individuals who have opted in to participate in a variety of market research studies. Selection of participants is made based on self-identified knowledge of various tax related processes, forms, or services, and the potential participant's availability. Individuals must have opted in to participate in a variety of market research studies before the data is saved and/or shared with the vendor, Deloitte. If a selected individual chooses not to participate in the study, no further information will be gathered from that individual.

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?

The Business Online Account (BOLA) team communicates with the vendor, identifies what type of participant they need to administer the Business Online Account Usability Testing survey to. (This project requires participants who own a business.) Deloitte will select participants that own a business and then contact them via email to invite or "solicit" their participation in the IRS BOLA usability testing.

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

Participants are selected from a database of individuals who have opted in to participate in a variety of market research studies. Selection of participants is made based on self-identified knowledge of various tax related processes, forms, or services, and the potential participant's availability. Individuals must have opted in to participate in a variety of market research studies before the data is saved and/or shared with the vendor, Deloitte. The Business Tax Account (BTA) team communicates with the vendor, identifies what type of participant they need to administer the Business Tax Account Usability Testing survey to. (This project requires participants who own a business.) Deloitte will select participants that own a business and then contact them via email to invite or "solicit" their participation in the IRS BTA usability testing.

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.

Potential participants will be contacted by Deloitte via email to verify eligibility and availability. When a participant fails to timely sign into the event (one-on-one

session) a reminder email will immediately be sent to them. If they do not respond or attend, no further communications with this participant about the scheduled event will occur. An outreach email template document is included in the attachments.

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.

All sessions will be conducted remotely via Teams or ZoomGov. At the scheduled time, the respondent will join the remote meeting with the Deloitte moderator. To supplement notes taken during the session, the screen and audio will be recorded using locally run software. The participants will be asked to keep their camera off, so only their audio/actions on screen will be captured. Observers will also be able to watch and listen in real time via Teams or ZoomGov. Participants are informed of and consent to being observed. At no time will the observers interact with the participants, and only aggregated and de-identified PII will be shared in the reports. Information about a specific participant will never be attributed to specific responses or insights. Observers will be stakeholders from both Treasury/IRS and Deloitte. Treasury/IRS observers are employees or their representatives who are either assisting with the administration of the user research activity or have a vested business interest in the insights from the user research activity. Deloitte observers are employees who work on administering the user research activity to include the moderator, project lead, notetaker, designers, and content creators/developers. There will be up to 10 observers each from Treasury/IRS and Deloitte. The moderator and designated notetaker will take the notes that will be used for report synthesis. Observation by stakeholders provides a number of benefits, including, but not limited to, creating an empathic connection to the taxpayers as they attempt to use a product or a website to achieve their goals, allowing stakeholders to experience the participant's emotional and mental burden for themselves, and fostering collaboration and insights in order to improve the taxpayer's experience.

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

Yes

3.13 Provide the consent method and statement.

The moderator reads a statement describing the session, including duration, desire to record the session, and presence of observers. The moderator will emphasize that participation is voluntary. The moderator will then request verbal consent to record the session, and verbal consent for the presence of observers.

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. The information may be disclosed to an IRS contractor, if necessary, for analysis. Providing the information is voluntary. Not answering some or all the questions will not affect you but we would like your valuable insight so we can consider best how to improve our services to you.

4.14 Does the IRS administer (conduct) the survey?

No

4.18 Does the IRS perform analysis of the survey results?

No

4.21 If a contractor administers (conducts) and analyzes the survey, is all work performed and contained in the United States?

Yes

4.22 How does the administrator of the survey protect employees' or taxpayers' SBU/PII from compromise, loss, theft, or disclosure?

Any PII data will be de-identified (meaning the removal of participant names and contact information, as well as any other personally identifiable information contained in screener responses) and will not be used during the reporting of results. No PII data will be stored after the survey participants are identified and selected. Data, results and analysis will not be stored on any public or unsecured repositories. Survey results and analysis will be stored on a secured, private Deloitte Federal SharePoint site, which fulfills the security standards for sensitive artifacts. Access to the repository is limited to small subset of individuals on the Deloitte team, and access to the repository must be granted by the SharePoint administrator on the Deloitte team.

4.23 Where and how is the PII stored and protected?

Any PII data will be de-identified (meaning the removal of participant names and contact information, as well as any other personally identifiable information contained in screener responses) and will not be used during the reporting of results. No PII data will be stored after the survey participants are identified and

selected. Data, results and analysis will not be stored on any public or unsecured repositories. Survey results and analysis will be stored on a secured, private Deloitte Federal SharePoint site, which fulfils the security standards for sensitive artifacts. Access to the repository is limited to small subset of individuals on the Deloitte team, and access to the repository must be granted by the SharePoint administrator on the Deloitte team.

4.24 Provide the Cyber Security approved security and encryption used when data is transferred electronically from the IRS to contractors and back to the IRS.

PII is not provided to the IRS. All participant information provided to the IRS is aggregated and de-identified. Deloitte utilizes encrypted email on IRS laptops to share deliverables.

4.25 How is the survey PII protected and stored when it is housed at a contractor site on contractor computers? Provide a detailed explanation of the physical and electronic security and protection of the data before, during and after the survey.

Any PII data will be de-identified (meaning the removal of participant names and contact information, as well as any other personally identifiable information contained in screener responses) and will not be used during the reporting of results. No PII data will be stored after the survey participants are identified and selected. Data, results and analysis will not be stored on any public or unsecured repositories. Survey results and analysis will be stored on a secured, private Deloitte Federal SharePoint site, which fulfils the security standards for sensitive artifacts. Access to the repository is limited to small subset of individuals on the Deloitte team, and access to the repository must be granted by the SharePoint administrator on the Deloitte team.

4.26 Has a Contracting Officer or Contracting Officer's Representative (COR) verified the contract included privacy and security clauses for data protection and that all contractors have signed non-disclosure agreements which are on file with the COR?

Yes

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

Contractors have read-only access to the PII data provided by participants; all contractors who have access to the PII data have active Minimum Background Investigations (MBIs) and therefore have IRS Public Trust clearances.

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.

The usability study is designed to focus solely on user perceptions and usability issues. Aggregated and de-identified demographic data collected will only be reported on to describe the group of individuals who participated in the research and cannot be directly tied to any feedback provided in the usability study.

4.28 Identify the roles and their access level to the PII data and indicate whether their background investigation is complete or not.

Contractors have read-only access to the PII data provided by participants; all contractors who have access to the PII data have active MBIs

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.

PII is not provided to the IRS. All participant information provided to the IRS is aggregated and de-identified. No "raw" or unaggregated taxpayer data from the recruiting screener or survey will be provided to any IRS office.

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

Yes

Interfaces

Interface Type

IRS or Treasury Contractor

Agency Name

Deloitte

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure email/Zixmail

Other Transfer Method

Deloitte receives information from a data

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 10.004 - Stakeholder Relationship Management and Subject Files

Describe the IRS use and relevance of this SORN.

Track correspondence with IRS Stakeholders (taxpayers) required for this survey

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.

Track correspondence required to coordinate participation in this survey

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Public Service Operations Records

What is the GRS/RCS Item Number?

6.5

What type of Records is this for?

Electronic

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?

DeloitteFed SharePoint

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.

Audio and Video recordings are stored and secured on Deloitte's federal SharePoint. Only authorized Deloitte professionals can access the data.

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

Files are only uploaded by authorized Deloitte professionals.