

Date of Approval: 07/05/2024
Questionnaire Number: 1332

Basic Information/Executive Summary

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

TaxPro Account Business POA/TIA, Link a Business CAF & Manage CAF

Business Unit

National Headquarters

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.

Usability testing is research conducted to evaluate the ease of use of a product or website. The TaxPro Portal team will conduct “moderated” survey sessions, which involve the active participation of a moderator which will be conducted remotely. The product or website being tested can range anywhere from an early design concept to the version currently in production. Usability testing can provide both quantitative and qualitative data depending on how the research is structured. Common examples of quantitative data include average time to complete a task, navigation choices, message comprehension, usefulness rating and preference for one design over another. Examples of qualitative data include emotions, attitudes and the past experiences upon which participants base their approach and reactions to the product. The team will use the insights of this testing to improve the customer experience, service and satisfaction to meet taxpayer goals more effectively. The target participants are business owners and/or business representatives who want to handle their business' tax matters

online (e.g., verify their income, view transcripts, etc.). Nine participants will be selected for each session block, which will be held virtually via Microsoft Teams.

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).

The data collected is used for screening purposes for the usability testing study.

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

Address

Biometric Information

Email Address

Employment Information

Internet Protocol Address (IP Address)

Name

Telephone Numbers

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?

Yes

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

This is a usability test where we have the user share their screen and have them complete several tasks. We do not ask them for any PII or SBU and provide them with fictitious information.

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?

OLS

1.21 Who will the survey be administered to?

Tax Professional from the general public.

1.22 What is the start date?

June 17, 2024

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

No

1.22 Is this a reoccurring survey?

Yes

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

No

1.23 What is the end date?

July 8, 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.

Age range, gender, household size, household income range, marital status, US residency, ethnicity, education, language(s) proficiency, disability status/impairment type (assistive technologies used, need for ASL interpreter), employment status/type (PT/FT/Unemployed; federal/state/local govt, employment in tax services industry, self-employed, small business, military, non-profit, etc.), tax account information (filing status - Single/Married Filing Jointly/Married Filing Separately/Head of Household, number of dependents, withholding status - employer/estimated payments/pay at filing, filing habits - electronic/paper/self/pro, balance due - refund or pay, types of IRS forms filed - 1040/940/1065, types of letters/notices received - CP2000, etc.), se of bank or other types of financial institutions/services, technology proficiency/comfort/access (internet use, device use, device type, email account, familiarity with web conferencing software, etc.), types of IRS interactions/services/touchpoints.

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

We use a screener to select the participants. Attached to this PCLIA request. If one completes the screener question and all the answers align with what we need. They are put in a spreadsheet, and we then select a diverse population based on gender identify, ethnicity, and US geographic regions. Often there isn't sufficient participants to create a diverse population, so we do our best.

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.

They will be notified via email and then an opportunity to select one of the available usability testing dates/times.

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.

We will use Microsoft Teams to conduct the usability testing. The participant will share their screen and go to a prototype URL to complete the task. This URL is static content and not a working piece of software.

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

Yes

3.13 Provide the consent method and statement.

We read a statement at the beginning of the usability testing describing that we are requesting to record audio/video (screen). They must agree for us to move forward. The cameras are turned off so we will not be recording the person just their shared screen. The statement is part of the attached moderators guide.

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.

Purpose: The primary purpose of asking for the information is to determine steps the IRS can take to improve our services to you. Authority: The authority requesting this information is 5 USC 301 which provides the head of an Executive

department (Treasury/IRS), or military department may prescribe regulations for the government of his department, the conduct of its employees, the distribution and performance of its business, and the custody, use, and preservation of its records, papers, and property. Routine Uses: 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. Consent: By providing your information as requested, you are consenting to the use of your information for the purposes stated herein. Consequences: 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. Online: N/A Other: N/A

4.14 Does the IRS administer (conduct) the survey?

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?

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.

4.23 Where and how is the PII stored and protected?

The information is stored on a secured laptop and deleted once the participants are scheduled. 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.

4.24 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.

Contractor Users Yes, Read Only, Moderate

- Contractor Managers? No
- Contractor Developers? No
- Contractor System Administrator (Sys Admin)? Yes, Administrator, High

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

Contractor Users Yes, Read Only, Moderate

- Contractor Managers? No
- Contractor Developers? No
- Contractor System Administrator (Sys Admin)? Yes, Administrator, High

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.

4.29 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, and IRS stakeholders will only receive an aggregated report of study findings.

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

Other

Other Transfer Method

Email and SharePoint server through IRS GFE

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.

The IRS will not have PII or SBU of the potential participants and will only have the finalized usability testing findings.

SORN Number & Name

IRS 10.004 - Stakeholder Relationship Management and Subject Files

Describe the IRS use and relevance of this SORN.

The IRS will not have PII or SBU of the potential participants and will only have the finalized usability testing findings.

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?

General Records Schedule 6.5

What type of Records is this for?

Electronic

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

This GRS most closely aligns with what we are doing with usability testing. The information collected is for the purposes of conducting the study and it no longer needed after the usability testing is complete. As a contractor Deloitte does not share any of the participants information with the IRS and will be destroyed up the conclusion of the usability test.

What is the disposition schedule?

Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

Data Locations

What type of site is this?

System

What is the name of the System?

Contractor Federated files share

Please provide a brief description of the System.

There will not be any usability testing information stored on the IRS system. When the study is complete the contractor (Deloitte) will provide the IRS with a Usability Testing Findings Presentation.