

# Screening and Interviewing

Pub 4012 – Tab B

Pub 5101 – Intake/Interview And Quality

Review Training

Video: [Intake Screening](#)

# ■ Lesson Topics

[Pub 5101](#)

- Interview process
- Intake Booklet
  - Consents
  - Questions
- Due diligence

# ■ Engage the Taxpayer

- Put taxpayers at ease
- Build rapport
  - Introduce yourself with a smile
  - Engage in small talk
- Ask open-ended questions
  - Questions that require more than yes or no answers

# ■ Engage the Taxpayer

- Allow taxpayer time to respond
- Protect taxpayer privacy
- Always ask permission to discuss taxpayer information with another Counselor

# ■ Explain the Process

- Examine taxpayer ID, Intake Booklet, tax documents, and prior year return
- Ask questions to help clarify taxpayer situation
- Determine tax return is in scope
- Tax data entered into computer
- Return reviewed by a second certified Counselor
  - Explain reviewer also asks questions for verification

# ■ Explain the Process (cont.)

- Copy printed for taxpayer (mail-in copies when required)
- Taxpayer reviews return(s) for accuracy and completeness
- Explain taxpayer is responsible for their tax return
- Taxpayer/spouse sign return
- Federal (state if applies) return E-filed (paper return mailed by taxpayer **only** if IRS requirement)
- Taxpayer keeps all documents, including signed copies
  - Tax-Aide keeps **no** taxpayer data or documents

# ■ Confirm Taxpayer Identity

- Confirm identity of taxpayers with government-issued photo ID
  - LC approval required for exceptions
- Confirm taxpayer identification number for every person listed on return
  - Social Security card or SSA-1099 benefits statement
  - ITIN letter
  - LC approval required for exceptions

# ■ Tax Documents

Sort taxpayers' documents in 1040 order

Wages

Interest

Dividends

Social Security

IRA distributions and pensions

Brokerage statements

Deductions, adjustments, or credits

# ■ Tax Documents (cont.)

- Confirm needed documents and information present
  - Taxpayer may need to go home for missing information
  - **Verify tax year**
  - **Review for scope**
    - Is the document in scope?
    - Are all the box entries and codes on the document in scope?
    - Refer to AARP Foundation **Tax-Aide** Scope Manual

# ■ Intake Booklet

- First three pages similar to prior years
  - Counselors complete gray shaded areas
  - Discuss and change all “Unsure” to “Yes” or “No”
- Review Intake Booklet for out of scope items or items requiring additional certification
- Add notes on Intake Booklet of any additional information to assist quality reviewer

# Intake Booklet Page 1



- Counselor to complete shaded area

Email now in Basic Information in TaxSlayer

What questions would you ask?

Form **13614-C** (October 2021) Department of the Treasury - Internal Revenue Service **Intake/Interview & Quality Review Sheet** OMB Number 1545-1964

**You will need:**

- Tax information such as Forms W-2, 1099, 1098, 1095.
- Social security cards or ITIN letters for all persons on your tax return.
- Picture ID (such as valid driver's license) for you and your spouse.

**Please complete pages 1-4 of this form.**  
**You are responsible for the information on your return. Please provide complete and accurate information.**  
**If you have questions, please ask the IRS-certified volunteer preparer.**

Volunteers are trained to provide high quality service and uphold the highest ethical standards.  
 To report unethical behavior to the IRS, email us at [wi.voltax@irs.gov](mailto:wi.voltax@irs.gov)

**Part I – Your Personal Information** (If you are filing a joint return, enter your names in the same order as last year's return)

1. Your first name	M.I.	Last name	Best contact number	Are you a U.S. citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No
2. Your spouse's first name	M.I.	Last name	Best contact number	Is your spouse a U.S. citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No
3. Mailing address			Apt #	City
4. Your Date of Birth	5. Your job title		6. Last year, were you:	
7. Your spouse's Date of Birth		8. Your spouse's job title		9. Last year, was your spouse:
10. Can anyone claim you or your spouse as a dependent?		11. Have you, your spouse, or dependents been a victim of tax related identity theft or been issued an Identity Protection PIN?		12. Provide an email address (optional) (this email address will not be used for contacts from the Internal Revenue Service)

**Part II – Marital Status and Household Information**

1. As of December 31, 2021, what was your marital status?

Never Married (This includes registered domestic partnerships, civil unions, or other formal relationships under state law)  
 Married a. If Yes, Did you get married in 2021?  Yes  No  
 Divorced b. Did you live with your spouse during any part of the last six months of 2021?  Yes  No  
 Legally Separated Date of final decree \_\_\_\_\_  
 Widowed Date of separate maintenance decree \_\_\_\_\_  
 Year of spouse's death \_\_\_\_\_

2. List the names below of:  
 • everyone who lived with you last year (other than your spouse)  
 • anyone you supported but did not live with you last year

If additional space is needed check here  and list on page 3

Name (first, last) Do not enter your name or spouse's name below	Date of Birth (mm/dd/yy)	Relationship to you (for example: son, daughter, parent, none, etc)	Number of months lived in your home last year	US Citizen (yes/no)	Resident of US, Canada, or Mexico last year (yes/no)	Single or Married as of 12/31/21 (S/M)	Full-time Student last year (yes/no)	Totally and Permanently Disabled (yes/no)	To be completed by a Certified Volunteer Preparer				
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	Is this person a qualifying child/relative of any other person? (yes/no)	Did this person provide more than 50% of his/her own support? (yes,no,n/a)	Did this person have less than \$4,300 of income? (yes,no,n/a)	Did the taxpayer(s) provide more than 50% of support for this person? (yes/no/n/a)	Did the taxpayer(s) pay more than half the cost of maintaining a home for this person? (yes/no)

# ■ Due Diligence During Interview Process

- Ask sufficient and thorough questions to ensure accuracy and completeness of tax return
- Verify accuracy of documents presented
  - Use good judgment when relying on oral or written statements

## ■ Due Diligence During Interview Process (cont.)

- Ask questions if information appears incorrect, inconsistent, or incomplete
- Counselors may not ignore information provided or independently known
- Counselors must not **knowingly** prepare false returns

## ■ Due Diligence During Interview Process (cont.)

- Consult with Local Coordinator if concerned with accuracy of documents or answers
- Do not prepare return if interview results appear inaccurate, suspicious or inconsistent
- Can rely in good faith on information from taxpayer without requiring documentation as verification
  - Returning taxpayer has usually established credibility

# ■ Consent #1: IRS Global Carryforward Consent

- Consent to Disclose Tax Return Information to VITA/TCE Tax Prep Sites
  - Allows TaxSlayer to carry forward taxpayer data to all active VITA/TCE sites following year
  - Reduces time and errors if taxpayer switches to different site the following year
  - Taxpayer/spouse sign form if agree to consent
  - If taxpayer does not consent, only same site carryforward will be available

# Consent #2: Consent to Disclose/Use Information to AARP Foundation

- Consent provides for:
  - TaxSlayer to share taxpayer data with AARP Foundation
  - Demographic questions are used
  - Enables AARP Foundation to receive grants based on our taxpayer population
  - Taxpayer/spouse sign form if agree to consent

# ■ Consent #3: Information Sharing Consent

## ■ AARP Foundation Program or Services

- Information used to determine taxpayer eligibility for free programs and services offered by AARP Foundation
- Information shared
  - Name, address, email address, phone number and age
  - Adjusted gross income, household size and income
  - Refund allocation
- Taxpayer/spouse sign form if consent given

# ■ Completed Interview

- Once interview complete, either
  1. Prepare return
  2. Taxpayer returns with missing documents
    - Possible appointment
  3. Refer to another Counselor if in scope for site but out of scope for interviewing Counselor
  4. Advise taxpayer return is out of scope
    - Discuss with Local Coordinator
    - Return Intake Booklet and all documents to taxpayer

# ■ Resources: Pub 5101



---

## MATERIALS

---

[Form 13614-C, Intake/Interview & Quality Review Sheet](#)

[Form 14446 – Virtual VITA/TCE Taxpayer Consent](#)

[Publication 4012, Volunteer Resource Guide](#)

[Form 13614-C Job Aid in Publication 4012](#)

[Publication 17, Your Federal Income Tax](#)

[Publication 5299, Quality Review Refresher](#)

[Publication 5310, Tax Return Quality Review Job Aid](#)

[Publication 5353, Fact Sheet for Partners and Employees – Intake/Interview & Quality Review Policy](#)

# ■ Screening and Interviewing

