

Survey PCLIA ID Number: 5487  
Date of Approval: September 30, 2020

## **SURVEY DESCRIPTION**

NOTE: All questions will refer to 'Survey' but also apply to a telephone interview or focus group.

*Full name and acronym of the Survey.*

2020 Latino Tax Professionals Association Focus Groups, SU-5487

*What type of information collection will be used?*

Focus Group

*Is this a new Survey?*

Yes

*Which Business Unit (BU) is requesting the Survey?*

Wage and Investments

*Who will the Survey be administered to?*

External Survey (Taxpayers or Others)

*Is your Survey a Customer Satisfaction or Taxpayer Experience Survey?*

Yes

*Does the information collection request require OMB Clearance?*

Yes

*Does this Survey have a Statistics of Income (SOI) number?*

No

*Is this a reoccurring Survey?*

No

*Provide the date the Survey will begin and end. (1-year expiration date)*

*Beginning quarter:*

1 – October-December

*Ending quarter:*

1 – October-December

## **GENERAL BUSINESS PURPOSE**

*What is the general business purpose of this Survey? Provide the reason for the Survey and the benefits to the IRS mission.*

The purpose of this focus group is to gather information from Latino tax professionals regarding new credit and due diligence requirements of the Tax Cut and Jobs Act of 2017. Participants will provide input on communication strategies, understanding new requirements, implementation of new provisions, and taxpayer reaction. Focus group findings will be utilized and distributed by the Refundable Credits Program Management (RCPM) office as part of their ongoing effort to provide the most up-to-date and accurate resources on refundable credits and due diligence.

## **PII DETAILS**

*Does the Survey use, collect, receive, display, store, maintain, or disseminate PII, or is PII (names, addresses, email addresses, etc.) used to select participants?*

No

## **PRIVACY ACT & SYSTEM OF RECORDS NOTICE**

*Does your survey concern any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.*

No

*The Privacy Act of 1974 (5 USC &sect552a(e)(3)) requires each agency that maintains a system of records, to inform each individual requested to supply information about himself or herself. Do Survey participants provide information about themselves?*

No

*Privacy analyst agreement date.*

9/9/2020

## **INCOMING PII INTERFACES**

*Does the employee/taxpayer PII come from the IRS, Treasury, or other Government system(s), application(s) or data base(s)?*

No

*Does the employee/taxpayer PII come from external resources (contractor, subcontractor, etc.)?*

No

## **PII SENT TO EXTERNAL ORGANIZATIONS**

*Are the Survey results disclosed to any other Federal or State Government? (For example, the Federal Viewpoint Survey/Questionnaire - the results are sent to OPM.)*

No

*Are the Survey results disclosed to any other sources? (Contractor, Sub-contractor etc.)*

No

## **SURVEY PARTICIPATION**

*Explain how the participants are selected. Include a detailed description. (If the selection is random, explain the process.)*

Focus group participants will be recruited from tax professionals attending the Latino Tax Professionals Association (LTPA) conference. Individuals will be recruited through an announcement within the conference guide, conference website, and during the Refundable Credits Program Management seminar. Those who choose to participate will be provided information that includes the date, time, and location of their focus group.

*How are participants notified (letter, postcard, email etc.) of the Survey?*

Participants will be provided a brief description of the research within the Latino Tax Professionals Association (LTPA) conference guide and conference website. In addition, the focus group will be discussed during the Refundable Credits Program Management seminar.

*Is the Survey voluntary/optional?*

Yes

*How is notice given that the Survey is voluntary/optional?*

Individuals will be advised during recruitment that participation in the focus group is voluntary. Also, participants will be notified that the focus group is voluntary during the moderator's instructions at the beginning of the focus group sessions.

## **SURVEY PROCESS**

*How will the Survey be conducted?*

Phone

*Explain the procedure. (Random Digit Dialing, Calling List)*

Participants will dial-in to a conference line to participate in the focus group. Participants will be solely responsible for accessing the conference line.

*Will the Survey be audio-taped?*

No

*Will the Survey be video-taped?*

No

## **DATA SECURITY**

*Does the IRS administer or perform analysis of the survey?*

Both

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

Wage and Investment Strategies and Solutions

*Provide the name of the IRS office performing analysis of the survey.*

Wage and Investment Strategies and Solutions

*How does the administrator of the Survey guarantee that the PII regarding employees or taxpayers will not be compromised, lost, or stolen when housed on IRS computers?*

No PII is collected during the recruitment or administration of the focus group. Participants will identify their first name only, but this information will not be recorded. Focus group session notes will not identify comments made by individual participants.

*Where and how is it stored and protected?*

No PII is collected or stored for this focus group.

*Does a contractor/vendor administer or perform analysis of the survey?*

No

## **SURVEY INFORMATION**

*What information/results will be provided to the business owners (IRS Requestors) of the Survey?*

Business owners will receive summarized findings regarding overall themes that emerged from the focus group sessions. There will be no information within any report that could identify an individual participant.

*Are the results aggregated?*

Yes

*What is the minimum sample size?*

N/A. Focus group notes will be consolidated and summarized.

*Explain the precautions taken, to ensure the survey results will not be used for any other purpose, not listed in question 7, General Business Purpose.*

At project completion, findings and results are presented to the customer along with a review of how the results will be used to assure they will be used for their stated purpose. Additionally, Wage and Investment Strategies and Solutions routinely engages with their customers regarding the use and dissemination of research results.

*Does the administrator of the Survey have access to information identifying participants?*

No

*Explain the precautions taken, to ensure that employees or taxpayers who participate in the survey cannot be identified or re-identified under any circumstances?*

No PII or other identifying information will be collected or retained on focus group participants. The administrator will instruct participants to only identify themselves using their first name. The administrator will instruct all focus group note takers not to record any PII (including first name) or any other identifying information. The administrator will review all focus group session notes to assure no PII or other identifying information was recorded. Should this information exist, it will be deleted from the focus group session notes.

*Explain the precautions taken to ensure no adverse actions can be taken against participants?*

No PII or other identifying information will be collected or retained on focus group participants. The administrator will instruct participants to only identify themselves using their first name. The administrator will instruct all focus group note takers not to record any PII (including first name) or any other identifying information. The administrator will review all focus group session notes to assure no PII or other identifying information was recorded. Should this information exist, it will be deleted from the focus group session notes.

*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?*

N/A. This project is a focus group.

## **RECORDS SCHEDULE**

*Are the Survey records covered under a General Records Schedule (GRS, IRS Document 12829) or has the National Archives and Records Administration (NARA) approved a Records Control Schedule (RCS, IRS Document 12990) for the retention and destruction of this Survey and supporting documentation?*

Yes

*How long are the records required to be held under the corresponding GRS or RCS and how are they disposed of? Explain how long any data will be retained by the contractor if they are conducting the Survey on behalf of the IRS. In your response, provide the GRS or RCS chapter number, the specific item number, and records series title.*

GRS 6.5 Item 010-Public customer service operations records-Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

## **CIVIL LIBERTIES**

*Does the Survey maintain records describing how an individual exercises rights guaranteed by the First Amendment (including, but not limited to information regarding religious and political beliefs, freedom of speech, freedom of the press, and freedom of assembly and petition)?*

No

*Will this Survey have the capability to identify, locate, and monitor individuals or groups of people?*

No

## **RESPONSIBLE PARTIES**

## OFFICIAL USE ONLY