

Survey PCLIA Report

Date of Approval: April 27, 2018

Survey PCLIA ID Number: **3385**

A. Survey Description

1. Full name and acronym of the Survey. 2018 IRS Tax Forum EITC Focus Groups, 2017 EITC FG
2. Is this a Survey, Telephone Interview or Focus Group? Focus Group

NOTE: the remaining questions will be simplified to refer to the Survey but still apply to Telephone Interview or Focus Group. If Telephone Interview or Focus Group, a copy of Interview Questions or the Moderators Guide will be requested by the Privacy Analyst.

3. Is this a new Survey? Yes
4. Is this a reoccurring Survey? No
 - 4.b. If no, provide the dates collection of information will begin and end. Focus group sessions will be held in person at the 2018 IRS Nationwide Tax Forums in Atlanta, GA (July 10 - 12), National Harbor, MD (July 17 - 19), San Diego, CA (August 7 - 9), Chicago, IL (August 21 -23), and Orlando, FL (September 11 - 13).
5. Does this Survey have an SOI (Statistics of Income) control number? Yes
 - 5.a. If yes, enter the number. SOI-518
6. Does the Information Collection Request require OMB Clearance? Yes
 - 6.a. If yes, what is the OMB Clearance number? 1545-1349

A.1. General Business Purpose

7. What is the general business purpose of this Survey? Provide a clear, concise description of the Survey, the reason for the Survey, and the benefits to the IRS mission.
The purpose of this project is to gather information from tax professionals on the content, layout, and use of the online Tax Preparer Toolkit. Participants will provide input on current content, discuss items the toolkit should include, and evaluate the online functionality of tools and topics. Focus group findings will be utilized and distributed by RICS as part of their ongoing effort to provide the most up-to-date and accurate resources on EITC and other refundable credits.

B. PII Details

8. Is Personally Identifiable Information (PII) used, collected, received, displayed, stored, maintained, or disseminated in the Survey; or is PII used to select participants? (i.e. names, addresses, email addresses, etc.)? No

C. Privacy Act & System of Records

9. Is there a System of Records Notice(s) or SORNs that addresses the PII records in this Survey? No

9b. If No, explain why the Survey does not have a SORN? Records are not retrieved by an identifier for an individual, so a system of records notice is not applicable. No PII data will be used during this focus group or used to select participants. Focus group participants will be recruited in-person by RICS and WISS employees from individuals attending the 2018 IRS Nationwide Tax Forums.

C.1. Privacy Act Notice

9.1 Based on the information you have provided, does the Survey require a Privacy Act Notice to be provided to participants? No

9.1.b. If no, please add the Disclosure office agreement date? 4/24/2018

D. Responsible Parties

10. Identify the individuals for the following Survey roles: ## Official Use Only

E. Incoming PII Interfaces

11. Does the employee/taxpayer PII come from the IRS, Treasury, or other Government system(s), application(s) or data base(s)? No

11.1. Does the data come from other sources? No

F. PII Sent to External Organizations

12. Are the Survey results disclosed to any other Federal or State Government? (For example, the Federal Viewpoint Survey/Questionnaire – OPM gets the results.) No

13. Are any external resources used to create the database of the participants? No

G. Survey Participation

14. Will the Survey be administered to IRS, Taxpayers or Others? Others

If Others, please explain. Focus group participants will be tax preparers attending the 2017 IRS Nationwide Tax Forums.

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. The IRS has a focus group recruitment booth at each year's Tax Forums to recruit tax professionals from the focus group attendees. Individuals will be recruited at this booth by IRS employees. Those who choose to participate will be provided with a reminder card that includes the date, time, and location of their interview. No information will be collected from the participants.

16. How are participants notified of the Survey? Participants will be provided a brief description of the research before the session. In addition, the research will be listed on the focus group recruitment table

board; and IRS employees will be at the booth to tell tax forum participants about the research, answer questions, and recruit individuals to participate.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? Individuals will be advised during recruitment and via the moderator's instructions at the beginning of the sessions.

18. How will the Survey be conducted?

No Electronically

No Web Based

No Mail

Yes Other

Please explain. The focus group will be conducted in person.

G.1. Survey Process

19. Does IRS administer or perform analysis of the survey? Both

Provide the name of the IRS office administering the survey.

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

Provide the name of the IRS office. Wage & Investment Strategies and Solutions

20. Does Contractor/Vendor administer or perform analysis of the survey? No

I. Information Protection

21. 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. Any use of quoted statements will not be attributed to a single participant.

22. Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances? Yes

23. Can you confirm that no adverse actions can be taken against participants regarding the participant's answers. Yes

24. For employee or taxpayer Satisfaction Surveys, can you verify that no "raw" or un-aggregated employee or taxpayer data will be provided to any IRS office? Yes

25. Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey? No

I.1 Records Schedule

26. Are the Survey records covered under the General Records Schedule (GRS), or have a National Archives and Records Administration (NARA) archivist approved a Record Control Schedule for the retention and destruction of official agency records stored in this Survey?

No

26.b. If No, how long are you proposing to retain the records? Please note, if you answered no, you must contact the IRS Records and Information Management Program to initiate records retention scheduling before you dispose of any records in this Survey.

The 2018 IRS Tax Forum EITC Focus Groups is unscheduled. A request for records disposition authority for this Survey (and other similar surveys Service-wide) is currently being drafted with the assistance of the IRS Records and Information Management (RIM) Program Office. When approved by the National Archives and Records Administration (NARA), disposition instructions for survey will include retentions for the datasets/raw data, background documentation, and any summary/ad hoc queries and reports.

P.1 Data Security

27. 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? Where and how is it stored and protected? The 2018 IRS Nationwide Tax Forum sessions are unscheduled. A request for records disposition authority for this focus group (and other similar focus groups Servicewide) will be drafted with the assistance of the IRS Records and Information Management (RIM) Program Office. When approved by the National Archives and Records Administration (NARA), it is anticipated that instructions for this focus group will include retentions for the datasets/raw data, background documentation, and summary/final reports, as appropriate. Cyber-security and NIST Standards (see reference below) for records retention requirements state that documents must be securely maintained for seven years prior to destruction. These requirements will be considered in drafting a final request for records disposition authority for NARA submission and approval. NIST Data security guidance/policy reference: NIST 800-53, Recommended Security Controls for Federal Information Systems & Organizations (Media Protection, Media Storage, System and Information Integrity) NIST Special Publication 800-88 CSS BPA contract Section Secure Data Transfer (SDT) Requirement CSS BPA contract IRSAP clause 1052.224-9000(c).

28. Does a contractor/vendor administer or perform analysis of the survey? No

M. Civil Liberties

29. 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 and of the press, and freedom of assembly and petition)? No

30. Will this Survey have the capability to identify, locate, and monitor individuals or groups of people? No

End of Report
