

Survey PCLIA Report

Date of Approval: April 27, 2018

Survey PCLIA ID Number: **3401**

A. Survey Description

1. Full name and acronym of the Survey. Nationwide Tax Forum 2018 Form 1099-MISC Filing Compliance Focus Group, NTF18 1099-MISC 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. We expect to conduct the focus groups between July 10 to August 9, 2018.

5. Does this Survey have an SOI (Statistics of Income) control number? Yes

5.a. If yes, enter the number. SOI-519

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 IRS has a strong commitment to improve our service to customers. We are seeking important information about taxpayer and practitioner experiences with IRS Form 1099-MISC. The intent of the questions is to collect data necessary to understand those experiences, adjust current policies and procedures relating to Form 1099-MISC processes, as well as improve customer and employee satisfaction. The questions seek to secure feedback from tax professionals about steps taken by business taxpayers to issue and record Form 1099-MISC filings.

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.)? Yes

8.a. If yes, specify the information.

<u>Selected</u>	<u>PII Element</u>	<u>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>
Yes	Name	Yes	No	No
No	Mailing address	No	No	No
No	Phone Numbers	No	No	No
No	E-mail Address	No	No	No
No	Date of Birth	No	No	No
No	Place of Birth	No	No	No
No	SEID	No	No	No
No	Mother's Maiden Name	No	No	No
No	Protection Personal Identification Numbers (IP PIN)	No	No	No
No	Internet Protocol Address (IP Address)	No	No	No
No	Criminal History	No	No	No
No	Medical Information	No	No	No
No	Certificate or License Numbers	No	No	No
No	Vehicle Identifiers	No	No	No
No	Passport Number	No	No	No
No	Alien (A-) Number	No	No	No
No	Financial Account Numbers	No	No	No
No	Photographic Identifiers	No	No	No
No	Biometric Identifiers	No	No	No
No	Employment (HR) Information	No	No	No
No	Tax Account Information	No	No	No

8.b Are there other types of PII collected in the Survey? No

8.c. Is any PII data collected, disclosed, or studied on employees, taxpayers, stakeholders or other individuals who choose not to participate? 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? Yes

9a. If yes, enter the SORN number(s) and the complete name of the SORN(s).

<u>SORNS Number</u>	<u>SORNS Name</u>
Treasury/IRS 10.004	Stakeholder Relationship Management and Subject Files

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? Yes

9.1.a. If yes, please provide the Privacy Act Statement. Small Business / Self-Employed (SB/SE) Research is committed to protecting the privacy rights of all taxpayers. Research will not collect personal information about you during the survey. Your participation is voluntary. During the survey, you will have the opportunity to provide comments and suggestions. We will not share the information you give us with anyone, unless required by law. Any information we collect and maintain will be handled in accordance with the access and privacy protection requirements of the Privacy Act, the Freedom of Information Act, and the Internal Revenue Code. If you would like further information about these statutes, please visit the IRS Electronic Freedom of Information Act Reading Room.

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? Yes

11.1.a. If yes, describe the source of the information. Focus group participant responses

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. We will be administering focus groups to tax practitioners attending the Nationwide Tax Forum.

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. Tax practitioners who voluntarily agree to participate in focus groups at the Nationwide Tax Forums in Atlanta, GA, National Harbor, MD, San Diego, CA.

16. How are participants notified of the Survey? There will be a focus group table set up at each of the three focus group locations at the Nationwide Tax Forums with the focus group topic. Attendees will be recruited and screened by trained IRS focus group moderators.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? The trained IRS focus group moderators will verbally notify potential participants during the recruitment phase and is also included in the introduction section of the moderator's guide.

18. How will the Survey be conducted?

No Electronically

No Web Based

No Phone

No Mail

Yes Other

Please explain. In-person; The focus group will be conducted in-person at the Nationwide Tax Forums

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. SB/SE Research

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? Research will provide aggregated results of the focus group to our customer, the Project Director in the Business Development Office and to the business unit. The deliverable will be in a Microsoft PowerPoint format. No identifying information will be provided. No adverse actions can be taken against the participants.

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?

Yes

26.a. If Yes, how long are the records required to be held under the corresponding RCS and how are they disposed of? Explain how long any PII data will be retained by the contractor if they are conducting the Survey on behalf of the IRS. In your response, please include the complete IRM number and specific item number and title.

SB/SE Research will be conducting focus groups. The information SB/SE Research obtains from the participants will be used only for this research project. The focus group documentation is unclassified. A request for records disposition authority for the focus groups (and other similar material Service-wide) 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 disposition instructions for this material will include retentions for the datasets/raw data, background documentation, and summary/final reports, as applicable. SB/SE has proposed a three-year retention for the records. SB/SE will follow IRM 1.7 (Research and Analysis for Tax Administration) and applicable federal guidelines, including the Federal Information Security Management Act of 2002 (FISMA). The information will be stored on a SB/SE Research server located in a secured area and only those researchers participating in the project with a need-to-know will have access to the information. The names of the individuals who participated in the focus groups are covered by Treasury/IRS SORN 10.004 - Stakeholder Relationship Management and Subject Files. Reference to other data security guidance/policy is as follows: 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). Any records generated and maintained in association with the survey will be managed according to requirements under IRM 1.15.1 and 1.15.6, and will be destroyed using IRS Records Control Schedule (RCS) 23, Item 15 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer.

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? No data will be transferred. The data will be stored in a secured area on an IRS file server. Only SB/SE Research employees assigned to the project with a need-to-know will have access to the data which will be maintained in a restricted access folder.

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
