

Survey PCLIA ID Number: 4078
Date of Approval: May 13, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

NTF19 Return Preparer Data Security Practices Focus Groups, SU-4078

Type of Survey:

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 Moderator's Guide will be requested by the Privacy Analyst.

Is this a new Survey?

Yes

Is this a reoccurring Survey?

No

Provide the dates collection of information will begin and end:

July - September 2019

Does this survey have an SOI (Statistics of Income) control number?

Yes

Enter the SOI Control Number:

SOI-526

Does the Information Collection Request require OMB clearance?

Yes

What is the OMB Clearance number?

1545-1349

GENERAL BUSINESS PURPOSE

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.

To gain a better understanding of how the IRS could improve communication (targeted message content and delivery type) to assist tax professionals in understanding the importance of data security (protect sensitive client data) as well as identify and implement sufficient security plans and security measures.

PII Details

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

Please specify the types of PII:

Name

Employment Information

Are there other types of PII collected in the Survey?

No

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

No

PRIVACY ACT & SYSTEM OF RECORDS

Is there a System of Records Notice(s) or SORN(s) that addresses the PII records in this Survey?

Yes

Enter the SORN number(s) and the complete name of the SORN(s):

IRS 10.004 Stakeholder Relationship Management and Subject Files

PRIVACY ACT NOTICE

Based on the information you have provided, does the Survey require a Privacy Act Notice to be provided to the participants?

Yes

Please provide the Privacy Act Statement:

Small Business/Self-Employed Research is committed to protecting the privacy rights of all taxpayers. Your participation is voluntary. During this focus group, 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.

RESPONSIBLE PARTIES

OFFICIAL USE ONLY

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 data come from other sources?

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 - OPM gets the results.)

No

Are any external resources used to create the database of the participants?

No

SURVEY PARTICIPATION

Who will the Survey be administered to?

Others

Please explain:

We will be administering focus groups to tax practitioners attending the Nationwide Tax Forum 2019.

Explain how participants are selected. Include a detailed description of the method and reason of selection. If selection is random, please explain.

Focus group participants are screened and selected from the tax practitioners attending the IRS Nationwide Tax Forum 2019 and who voluntarily agree to participate in focus group sessions.

How are participants notified of the Survey?

There will be a focus group table set up at each of the focus group locations at the Nationwide Tax Forum with the focus group topics. Attendees will be recruited and screened by trained IRS focus group moderators.

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

Focus group participants are screened and selected from the tax practitioners attending the IRS Nationwide Tax Forum 2019 and who voluntarily agree to participate in focus group sessions. They will be informed that participation is voluntary when signing up for the session and at the beginning of the session, during the introduction.

How will the Survey be conducted?

Other

Please explain:

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

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Both

Provide the name of the IRS office:

SB/SE Research

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

Neither

INFORMATION PROTECTION

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

Research will only provide aggregated results of the focus group to our customers in Communications & Liaison. The deliverable will be in a Microsoft PowerPoint or Word format. No identifying information will be provided. No adverse actions can be taken against the participants.

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

Yes

Can you confirm that no adverse actions can be taken against participants regarding the participant's answer?

Yes

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

Are there any employee or taxpayer identifiers that are obtained as a result of responding to the survey?

No

RECORDS SCHEDULE

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

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 unscheduled. 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: National Institute of Standards and Technology (NIST) 800-53, Recommended Security Controls for Federal Information Systems & Organizations (Media Protection, Media Storage, System and Information Integrity) NIST Special Publication 800-88 Customer Satisfaction Survey (CSS) Blanket Purchase Agreement (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.

DATA SECURITY

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.

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

No

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 and 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