

Survey PCLIA ID Number: 3837
Date of Approval: May 17, 2019

SURVEY DESCRIPTION

Full name and acronym of the Survey.

W&I Asian Limited-English Proficient Taxpayers, SU-3837

Type of Survey:

Survey

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:

April 14 through May 14, 2019

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

No

Does the Information Collection Request require OMB clearance?

Yes

What is the OMB Clearance number?

1545-1432

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.

The Multilingual and Agency Services (MAS) Branch of the IRS is responsible for developing Service-wide strategies and policies that target the specific needs of limited-English proficient (LEP) taxpayers, and to identify key areas of improvement that must be addressed to meet those needs. LEP taxpayers experience difficulties conducting business with the IRS that present unique challenges for both the taxpayer and the IRS. The IRS provides language assistance to taxpayers for whom English is a second language, which can result in increased hardships, taxpayer burden, and noncompliance among this fast-growing group. Further, some LEP taxpayers come from cultures where there is a lack of trust of the tax system or government in general, which may affect their interactions with the IRS. Establishing and maintaining trust between the IRS and the LEP community is an important step in bringing LEP taxpayers into the system and keeping them there. MAS seeks to develop a deeper understanding of Asian LEP taxpayers and capture insights about the attitudes and understanding of these populations as it relates to their taxpaying obligations. To that end, MAS plans to administer a survey to Chinese, Korean, and Vietnamese LEP individual and self-employed/small business taxpayers to assess their language assistance, outreach, education and return preparation needs to assist in their compliance of IRS tax laws.

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.)?

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?

No

Explain why the Survey does not have a SORN:

Records not retrieved by individual identifier. Study assesses taxpayers' level of awareness and use of IRS products and services.

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:

This survey is being conducted for the Federal Government by an independent national research organization, Pacific Consulting Group. Your answers are anonymous and no personal identifying information will be released to the government to the extent permitted by law. Your responses will be combined with others and reported collectively. Disclosure Office agreement date is 4/19/2019.

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?

Yes

Identify the external resources used to create the database, how the data is transmitted and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

Organization Name: Contractor

Transmission Method: Received by survey from taxpayers - laptop or computer

ISA/MOU: Yes

SURVEY PARTICIPATION

Who will the Survey be administered to?

Taxpayers

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

Introduction (Spoken): Pacific Consulting Group, an independent national research organization, is conducting a survey on behalf of the Federal Government. You will be offered \$20 cash to complete the survey. The survey should take you about 15 minutes to complete. We are asking people to take this anonymous survey about their experiences preparing and filing taxes. We will not ask you for any personal information that would identify you. Your feedback is valuable because it will help improve services for taxpayers. Your participation is voluntary.

How are participants notified of the Survey?

The English version of the survey will be programmed and tested by Pacific Consulting Group. The survey in Word will be translated into Chinese (Mandarin), Vietnamese, and Korean. The translations will then be overlaid on to the English survey program and data collection will begin shortly thereafter. Data collection will begin with a soft launch of ten completed surveys per language to receive feedback on any issues with the survey (for example, questions that are not understood or are confusing to the respondents). After a review of any issues with the survey design, timing, or process, corrections will be made, and the full launch will commence shortly thereafter. During the data collection process, the interviewer, a fluent speaker of the language, will intercept potential participants in areas of high concentration/ high traffic for the target ethnic groups, for example, Chinatown in San Francisco. The interviewer will then inform the potential participants about the survey and will administer the screener section of the survey face-to-face. If the participants qualify, then the survey data will be collected using a tablet/laptop computer. It may be self-administered, or if needed, the survey participant will be assisted by an interviewer (who would read the questions aloud).

Is the Survey voluntary?

Yes

How is notice given that the Survey is optional?

"Your participation is voluntary" is part of the introduction.

How will the Survey be conducted?

Electronically

Explain the delivery method and specify if cookies are used.

The data will be collected using a tablet/laptop computer. The survey may be self-administered by survey respondents, or if needed, the survey respondent will be assisted by an interviewer.

What application is used to create the survey?

Other

Please explain.

Decipher survey platform will be used to create the survey.

SURVEY PROCESS

Does the IRS administer or perform analysis of the survey?

Neither

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

Both

Provide the name of the contractor/vendor:

Pacific Consulting Group

Has a Contracting Officer or Contracting Officer's Representative (COR) verified that all applicable FAR requirements are met to engage a contractor to perform the survey?

Yes

That all required "non-disclosure" clauses are contained in the contract.

Yes

That all contractor employees who will have access to the data have signed non-disclosure agreements and the non-disclosure forms are on file with the COR.

Yes

What is the level of access and background investigation completed on contractor employees prior to access to PII about employees or taxpayers? Any contractor or subcontractor who will have access to the PII should have at least a "Moderate Risk" (NACIC) investigation. See Publication 4812 - Contractor Security Controls.

Contractor Users: Read and Write Moderate

Contractor Managers: Read and Write Moderate

Contractor Developers: Read and Write Moderate

Contractor Sys. Admin.: Read and Write Moderate

INFORMATION PROTECTION

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

The tabulation of results and reporting are expected to 8-10 weeks after the completion of fielding. Pacific Consulting Group will provide a detailed report depicting awareness and use of LEP products and services. The information will be provided in the form of a written report with findings and actionable recommendations.

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.

All records for the survey will be deleted or destroyed in accordance with approved retention periods. Records will be managed according to requirements under IRM 1.15.1 and 1.15.6 and will be destroyed using IRS General Records Schedule (GRS) 6.5, Item 010, Public customer service operations records and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer. GRS may be superseded by IRS specific RCS in the future. Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

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 PII to be collected for this study.

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

Yes

Please provide the Cyber security approved security and encryption used when data is transferred electronically from IRS to Contractors and back to the IRS.

No data to be transferred to the contractor. Raw data (without identifiers) will be shared with IRS for comparison should another study is conducted 3-5 years from now. Pacific Consulting Group will provide a detailed report depicting awareness and use of LEP products and services. The information will be provided in the form of a written report with findings and actionable recommendations.

When data is not sent electronically, provide in detail the information regarding the transfer back and forth from the IRS to contractors?

Not Applicable (N/A)

How is the survey PII protected and stored when it is housed at a contractor's site, on contractor's computers? Please provide detailed information that the contractor uses regarding the physical and electronic security and protection of the data before, during, and after the survey.

No PII gathered.

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