Survey PCLIA Report

Date of Approval: March 30, 2017 Survey PCLIA ID Number: **2436**

A. Survey Description

1. Full name and acronym of the Survey. Nationwide Tax Forum 2017 Collection Non Compliance Issues, N/A

2. Is this a Survey, Telephone Interview or Focus Group? Focus Group

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. July 11, 2017 through September 14, 2017

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

   5.a. If yes, enter the number. SOI-511

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 Nationwide Tax Forums sponsored each year by the IRS offer a unique opportunity to solicit the opinions, experiences, and ideas of tax practitioners about important issues for taxpayers and for the IRS. Between 2010 and 2016, IRS Field Collection experienced a 42% decline in the number of revenue officers. These employees provide the nation's field-facing deterrent to recurring compliance issues with filing and payment of more complex taxpayer cases. With limited resources and increased taxpayer representation of this customer segment, IRS hopes to learn more about why some taxpayers have recurring compliance issues with regard to payment and filing. The market segment of interest for this research consists of the tax practitioners. The objectives for Field Collection Recurring Compliance Issues are: • Solicit information to help understand reasons that some individuals and business entities have recurring Collection compliance issues. • Solicit suggestions to reduce recurring compliance issues.

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? Yes

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

SORNS Number	SORNS Name
Treas/IRS 00.003	Taxpayer Advocate Service and Customer Feedback an

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? 3/29/2017

D. Responsible Parties

10. Identify the individuals for the following Survey roles: (System Owner = Survey Owner/Business Owner) ## 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. Professional tax preparers and representatives.

15. Explain how participants are selected. Include a detailed description on the method and reason of selection. If selection is random, explain. Focus group participants are screened and selected from the tax practitioners attending the 2017 IRS Nationwide Tax Forums.

16. How are participants notified of the Survey? Trained focus group moderators from SB/SE Research will screen and invite tax practitioners using a screener's guide approved by the SB/SE business unit.

17. Is the Survey voluntary? Yes

If yes, how is notice given that the Survey is optional? Participants are invited, after screening, to attend the voluntary focus groups.

18.How will the Survey be conducted?

No Electronically

No Web Based

No Phone

No Mail

Yes Other

Please explain. The focus groups will be conducted in person at each of the nationwide focus groups.

G.1. Survey Process

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

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? At the completion of the five Tax Forums, the focus group responses will be released in a report as summary observations and categorized by the topic of discussion in the moderator's guide. The report will not contain any individually identifying information such as name, address, or taxpayer/practitioner identification number. The moderator ensures that tax practitioners participating in the focus group are guaranteed anonymity. Upon completion of data collection and delivery of the report, the focus group data will remain on a secured IRS server for three years.

22. Can you confirm that employees or taxpayers who participate in the survey cannot be identified under any circumstances? No

22a. If No, please explain. Participants will be given a name tag at the nationwide tax forums that contains their full name.

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? N/A

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.

SB/SE Research has proposed a three-year retention for the records. We 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 the SB/SE Research XXX XXX server located in a secured area (XXX XXX, XXX) and only project participants will have access to the information. The names of the participants collected 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.

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? PII will not be captured by note takers. 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 will have access to the data 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