

Date of Approval: 12/04/2024
Questionnaire Number: 1539

Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

Call Referral Processing

Acronym:

CRP

Business Unit

Information Technology

Preparer

For Official Use Only

Subject Matter Expert

For Official Use Only

Program Manager

For Official Use Only

Designated Executive Representative

For Official Use Only

Executive Sponsor

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

Customer Service Script (CSS), also called Call Referral Processing (CRP), is one of many sub-applications of Integrated Customer Communications Enterprise (ICCE). CSS/CRP is the framework that handles all calls on the Interactive Voice Response (IVR). One of the first tasks it performs is determining whether a call has come into ICCE during business hours.

CSS/CRP may play messages at the beginning or end of a call advising the caller of business hours, or any situation occurring that prevents a call from being answered by an IRS Customer Service Representative (CSR), such as emergencies or technical difficulties. CSS/CRP only handles calls from individuals (not businesses). CSS also identifies the language the caller wants to use during their session (Spanish or English). After answering a call and confirming CSRs are available, CSS/CRP determines the reason for the call. Third, and only if needed, CSS/CRP asks for the caller's Taxpayer Identity Number (TIN). It does not authenticate a caller's identity, but only holds that information in case the caller needs to speak to an IRS Customer Service Representative (CSR). If that determination is made CSS/CRP transfers the call to the appropriate CSR group. Along with the caller, CSS/CRP also sends a Teleset Display String of Data to the CSR that contains the caller's issue and TIN. The CSR will see this information on their Teleset screen of their phone so they can better assist the caller. When CSS/CRP has completed its task, it will log a call as abandoned, completed, or routed in the ICCE's Management Information System(s) MIS file.

Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?

Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).

CSS is the framework that handles all calls on the IVR. When answering calls, CSS first checks the time of to see if it is normal business hours or after hours. It also checks whether there are emergencies or other situations at the IRS that prevent calls from being handled normally. CSS contains recorded messages to advise callers of anything other than normal operating status. Under normal operating conditions, scripts and/or menus in CSS allow the routing of a call to the CSR group that can answer the caller's question. Some calls may be routed without gathering a caller's PII. However, some calls require a caller to enter their TIN. When this is the case, CSS calls TINEntry/Enhanced Bot Routing (EBR). Actual TIN authentication will be done by a CSR, but TINEntry/EBR does an initial check of a taxpayer's account to ensure a call is being routed to the best possible CSR group. If the Call type and dial number identification service (DNIS) doesn't indicate a specific application in the various tables CSS reads the call type from the ICCE database. All calls are logged in the MIS system as abandoned, completed or routed.

CRP is the process inside of CSS that sends a request to ICM for a number to transfer the caller to. It builds a Teleset Display Message shown to the CSR to give the CSR a reason for the call. The Teleset Display Message is made up of the caller's TIN and a string of numbers that relate to the reason for calling. A caller's TIN is saved in the ICCE system log files for traceability purposes. The reason for calling is not saved or tracked.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Employment Information

Other

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

Please explain the other type(s) of PII that this project uses.

Teleset Display string of Data

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

PII for personnel administration - 5 USC

SSN for tax returns and return information - IRC section 6109

Product Information (Questions)

1.1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?

No

1.3 What type of project is this (system, project, application, database, pilot/proof of concept, power platform/visualization tool)?

System

1.35 Is there a data dictionary for this system?

Yes

1.36 Explain in detail how PII and SBU data flow into, through and out of this system.

The SSN is displayed on the teleset for the CSR, after the call ends the SSN is deleted from the teleset and the SSN is stored in our log files and kept for 7 years.

1.4 Is this a new system?

No

1.5 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this system?

Yes

1.6 What is the PCLIA number?

6921

1.7 What are the changes and why?

Updating SORNs numbers based on feedback from annual assessment.

1.8 If the system is on the As-Built-Architecture, what is the ABA ID of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID for each application covered separated by a comma.

210147

1.9 What OneSDLC State is the system in (Allocation, Readiness, Execution)?

Execution

1.95 If this system has a parent system, what is the PCLIA Number of the parent system?

6813

2.1 If this system discloses any PII to any third party outside the IRS, does the system have a process in place to account for such disclosures in compliance with IRC 6103(p)(3)(A) or Subsection c of the Privacy Act? Contact Disclosure to determine if an accounting is required. Enter "Yes" or "No". If Exempt, type "Exempt".

No

2.2 Please provide the full name of and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.

SBSE Governance Board

3.1 Does your project/system involve any use of artificial intelligence (AI), including virtual assistant, chat bot, and robotic process automation, as defined in Executive Order 13960?

No

3.3 Does this system use cloud computing?

No

3.6 Does this system interact with the public through a web interface?

No

3.7 Describe the business process allowing an individual to access or correct their information.

CSS provides the taxpayer the opportunity to respond to any negative determinations by routing them to CSR and having them address the taxpayer's issues.

4.1 Who owns and operates the system (IRS Owned and Operated, IRS Owned and Contractor Operated, Contractor Owned and Operated)?

IRS Owner and Operated

4.51 How many records in the system are attributable to IRS Employees? Enter "Under 50,000", "50,000 to 100,000", "More than 100,000" or "Not Applicable".

Not applicable

4.52 How many records in the system are attributable to contractors? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not Applicable".

Not applicable

4.53 How many records in the system are attributable to members of the public? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not applicable".

More than 100,000

4.54 If records are attributable to a category not mentioned above in 4.51 through 4.53, please identify the category and the number of corresponding records to the nearest 10,000. If none, enter "Not Applicable".

Not applicable

4.6 How is access to SBU/PII determined and by whom?

IRS System administrators have read access only. Access is cleared through BEARS. CSRs work in groups, also known as agent groups. The lead for the group will determine access for the CSRs through the BEARS system. The three roles are Agent profile builders/inputters, system administrators, and CSRs.

5.1 Please describe any privacy risks, civil liberties and/or security risks identified for the system that need to be resolved and what is the mitigation plan?

Not applicable

5.11 Is there a Risk Assessment Form and Tool (RAFT) associated with this system on file with your organization or the IRS Risk Office.

No

5.2 Does this system use or plan to use SBU data in a non-production environment?

No

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Location

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

View Credit

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Voice Balance Due

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

View Debit

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

TINEntry

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Where's My Amended Return

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Transcript

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Refund Trace

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Payoff

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Refund Inquiry

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.

The Call Processing application sends data to the backend mainframes when a call is routed out of the Voice Response Unit (VRU) system. This allows a CSR when they get a call to have the ability to look at data that was logged during the call before they were transferred. The data that they have access to is logged during the call by various applications on the Voice Response Unit (VRU) has context menu.

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

This SORN is to conduct audit trail and analysis for the application.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Information Security Systems Records

What is the GRS/RCS Item Number?

3.2, item 030/031

What type of Records is this for?

Both (Paper and Electronic)

Please provide a brief description of the chosen GRS or RCS item.

The National Archives and Records Administration (NARA) approved disposition instructions for OPA inputs, system data, outputs, and system documentation in July 2012, under Job No. N1-58-11-11. All completed OPA sessions are updated to the Master File for official recordkeeping purposes. OPA disposition instructions published as pending in IRS Document 12990, Records Control Schedule 28 for Collections, item 158 will be updated to indicate approval upon next RCS 28 update. IDRS retains logs of all access of taxpayer records. All data and audit information are sent to SAAS application. NARA approved a 7-year retention of SAAS audit data under Job No. N1-58-10-22 (approved 4/5/2011). SAAS retention requirements will be incorporated into OPA records requirements.

What is the disposition schedule?

(SAAS) application where it will be maintained for seven years (in accordance with NARA Job No. N1-58-10-22, approved 4/5/2011). SAAS disposition instructions are published in IRS Document 12990, Records Control