

Date of Approval: **August 11, 2022**

PIA ID Number: **6921**

## **SYSTEM DESCRIPTION**

*Enter the full name and acronym for the system, project, application and/or database.*

Call Referral Processing, CRP

*Is this a new system?*

Yes

*What governance board or Executive Steering Committee (ESC) does this system report to? Full name and acronym.*

Customer Service Domain

*Current ELC (Enterprise Life Cycle) Milestones:*

Operations & Maintenance (i.e., system is currently operational)

*Is this a Federal Information Security Management Act (FISMA) reportable system?*

No

## **GENERAL BUSINESS PURPOSE**

*What is the general business purpose of this system? Provide a clear, concise description of the system, application or database, the reason for the system, and the benefits to the IRS to use the information, and how the information will be used.*

Customer Service Script (CSS), also called "Call Processing", handles the routing and data sent along with the transfer of the caller. Teleset Display string of Data is also sent. The string consists of Tax Identification Number (TIN) of the caller if entered and a short, abbreviated description of why or where they caller errored in the application resulting in being transferred to a Customer Service Representative (CSR). The CSR will see this information on their Teleset screen of their phone so they can better assist the caller. After CSS application routes the caller and before the CSR answers the call, the taxpayer may wait in a que managed by the Intelligent Caller Manager (ICM).

## PII DETAILS

*Does the system use, collect, receive, display, store, maintain, or disseminate IR Code 6103 taxpayer information: or any other type of Sensitive but Unclassified (SBU) information or PII such as information about IRS employees or outside stakeholders?*

Yes

*Does the system use, collect, receive, display, store, maintain, or disseminate Social Security Numbers (SSN's) or tax identification numbers (i.e., last 4 digits, etc.)?*

Yes

*What types of tax identification numbers (TIN) apply to this system?*

Social Security Number (SSN)

*List the approved Treasury uses of the SSN:*

When there is no reasonable alternative means for meeting business requirements

Delivery of governmental benefits, privileges, and services

*Explain why the authorized use(s) above support the new or continued use of SSNs (or tax identification numbers).*

Our system requires the callers SSN in order to provide services to the caller/taxpayer. Setting up installment agreements and use the caller's data to route them to an agent that can handle their specific issue.

*Describe the planned mitigation strategy and forecasted implementation date to mitigate or eliminate the use of SSN's (or tax identification numbers).*

This application does truncate the Social Security Number (SSN) (last four digits are masked). The application cannot mitigate the use of Social Security numbers until an alternate identifier has been adopted by the IRS to identify taxpayers. Alternate identifier would be something issued by the IRS to each taxpayer that is unique like an SSN and could be used to pull data for the individual.

Employer Identification Number

*Does this system use, collect, receive, display, store, maintain or disseminate other (non-SSN) PII (i.e., names, addresses, etc.)?*

No

*Does this system use, collect, receive, display, store, maintain, or disseminate SBU information that is not PII?*

No

*Are there other types of SBU/PII used in the system?*

No

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

SSN for tax returns and return information is Internal Revenue Code Section 6109

Information by CI for certain money laundering cases may be 18 USC

*Has the authority been verified with the system owner?*

Yes

## **BUSINESS NEEDS AND ACCURACY**

*Explain the detailed business needs and uses for the SBU/ PII, and how the SBU / PII is limited only to that which is relevant and necessary to meet the mission requirements of the system. If SSNs (or tax identification numbers) are used, explicitly explain why use of SSNs meets this criteria. Be specific.*

Collecting the SSN is vital in order to process the taxpayer and route them to an agent that can assist their specific conditions. Also, sub applications that interact with CSS require the SSN in order to perform some of their functions. Such as, setting up an installment agreement, providing payoff amount to the taxpayer, looking up Refund status and other function performed by other applications that would have their own PCLIA talking to the specific uses. Other applications will use the SSN/TIN to pull data and then use other shared secrets such as Date of Birth (DOB), Adjusted Gross Income (AGI), CallID on the last Notice sent to additionally meet higher authentication needs. If required, the caller will be sent to a CSR to be authenticated manually for some specific issues. This is due to the limitation of the Phone interface.

*How is the SBU/PII verified for accuracy, timeliness, and completion?*

Taxpayer confirms their SSN when they enter it over the phone. Other applications will use the SSN/TIN to pull data and then use other shared secrets such as DOB, AGI, CallID on the last Notice sent to additionally meet higher authentication needs before allowing the caller to access data over the phone. If required, the caller will be sent to a CSR to be authenticated manually for some specific issues. This is due to the limitation of the Phone interface.

## **PRIVACY ACT AND SYSTEM OF RECORDS**

The Privacy Act requires Federal agencies that maintain a system of records to publish systems of records notices (SORNs) in the Federal Register for records from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence. The Privacy Act also provides for criminal penalties for intentional noncompliance.

*Does your application or this PCLIA system pertain to a group of any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.*

Yes

*Identify the Privacy Act SORN(s) that cover these records.*

IRS 00.001 Correspondence Files and Correspondence Control Files

## **RESPONSIBLE PARTIES**

*Identify the individuals for the following system roles:*

## Official Use Only

## **INCOMING PII INTERFACES**

*Does the system receive SBU/PII from other systems or agencies?*

No

## **DISSEMINATION OF PII**

*Does this system disseminate SBU/PII?*

Yes

*Does this system disseminate SBU/PII to other IRS Systems?*

Yes

*Identify the full name and acronym of the IRS system(s) that receive SBU/PII from this system.*

System Name: Call Center Teleset Display screen.

Current PCLIA: No

SA&A: No

*Identify the authority.*

Customer Service, Information Technology Director

*For what purpose?*

To allow the CSR Agent to quickly see the reason they are getting the call and to allow them to bring up the taxpayer's record using TIN on the display.

*Does this system disseminate SBU/PII to other Federal agencies?*

No

*Does this system disseminate SBU/PII to State and local agencies?*

No

*Does this system disseminate SBU/PII to IRS or Treasury contractors?*

No

*Does this system disseminate SBU/PII to other Sources?*

No

## **PRIVACY SENSITIVE TECHNOLOGY**

*Does this system use social media channels?*

No

*Does this system use privacy-sensitive technologies such as mobile, global position system (GPS), biometrics, RFID, etc.?*

No

*Does the system use cloud computing?*

No

*Does this system/application interact with the public?*

No

## **INDIVIDUAL NOTICE AND CONSENT**

*Was/is notice provided to the individual prior to collection of information?*

Yes

*How is notice provided? Was the individual notified about the authority to collect the information, whether disclosure is mandatory or voluntary, the purpose for which the information will be used, with whom the information may be shared, and the effects on the individual, if any, if they decide not to provide all or any of the requested information?*

CSS prompts the taxpayer to enter their SSN/TIN they used to file their tax return. If they do not, they will be routed to a CSR during normal hours for some cases and others they will be told to call back when they have the information available. After hours (10pm to 7am weekdays) and Weekends, Holidays the taxpayer will hear a specific closed message. If the taxpayer does provide their SSN/TIN, then the automated Telephone applications cannot assist them unless it is a service that does not require the SSN/TIN such as mailing address to send your tax return that requires only a zip code of the caller's home address. After entering the SSN/TIN and CSS pulls data if there is any condition on the customer's account that prevents the automated system from performing the service the caller will be routed to a CSR during normal hours. If it is after hours, they will get a call Back message that can contain a toll-free number and a 3-digit extension to enter.

*Do individuals have the opportunity to decline from providing information and/or from consenting to particular uses of the information?*

Yes

*Describe the mechanism by which individuals indicate their consent choice(s):*

They have the opportunity to opt out of the system by not entering their information (SSN/TIN). If the taxpayer does not enter the SSN/TIN, they will be routed to a CSR during normal hours for some cases and others they will be told to call back when they have the information available. After hours (10pm to 7am weekdays) and Weekends, Holidays the taxpayer will hear a specific closed message. Without the SSN/TIN to pull data for the caller the Telephone automated system cannot provide services that require the SSN/TIN.

*How does the system or business process ensure 'due process' regarding information access, correction, and redress?*

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. Some cases the caller will be given a toll-free number to call back on when there are no CSRs available, and they will enter the 3-digit extension given to them and at that point they will route to a CSR. In some cases, the 3-digit extension puts the taxpayer into an application and the caller will again fail to enter the information and be routed to a CSR by CSS.

## INFORMATION PROTECTION

*Identify the owner and operator of the system (could be IRS owned and operated; IRS owned, contractor operated; contractor owned and operated).*

IRS Owned and Operated

*The following people have access to the system with the specified rights:*

*IRS Employees*

System Administrators: Read Only

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

Access to the data by taxpayers is determined by the taxpayer entering valid shared secrets. Once they enter shared secrets and their data matches up with the Integrated Data Retrieval System (IDRS) Cooperate Files Online. CFOL information to ensure that the information is correct, they are eligible to use the system. This is termed successful authentication.

## RECORDS RETENTION SCHEDULE

*Are these records covered under a General Records Schedule (GRS, IRS Document 12829), or has the National Archives and Records Administration (NARA) approved a Records Control Schedule (RCS, IRS Document 12990) for the retention and destruction of official agency records stored in this system?*

Yes

*How long are the records required to be held under the corresponding GRS or RCS, and how are they disposed of? In your response, please provide the GRS or RCS chapter number, the specific item number, and records series title.*

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 is 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.

## **SA&A OR ASCA**

*Has the system been through SA&A (Security Assessment and Authorization) or ASCA (Annual Security Control Assessment)?*

In-process

*When is the anticipated date of the SA&A or ACS completion?*

5/25/2022

*Describe the system's audit trail.*

CSS will collect Management Information System (MIS) data related to the taxpayer's use of all the applications that CSS connects to such as Refund, Voice Balance Due (VBD), Payoff and many more. An example would be how many times VBD was used by a taxpayer, how many taxpayers successfully submitted an installment agreement in VBD. VBD will have its own PCLIA specific to itself. In addition to MIS, in the current production environment, CSS sends all of its business layer outbound responses to Security Audit and Analysis System (SAAS) through Application Messaging and Data Access Service (AMDAS) on the outbound queue. AMDAS provides a secure communication service between modernized components.

## **PRIVACY TESTING**

*Does the system require a System Test Plan?*

No

*Please explain why:*

System does not require one.

## **SBU DATA USE**

*Does this system use, or plan to use SBU Data in Testing?*

No



## NUMBER AND CATEGORY OF PII RECORDS

*Identify the number of individual records in the system for each category:*

IRS Employees: Not Applicable

Contractors: Not Applicable

Members of the Public: 100,000 to 1,000,000

Other: No

## CIVIL LIBERTIES

*Does the system maintain any information describing how any individual exercises their rights guaranteed by the First Amendment?*

No

*Is the system information used to conduct 'data-mining' as defined in the Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53, Section 804?*

No

*Will this system have the capability to identify, locate, and monitor individuals or groups of people?*

No

*Does computer matching occur?*

No

## ACCOUNTING OF DISCLOSURES

*Does the system include or require disclosure of tax or employee information to anyone other than IRS employees in the performance of their duties, or to the person to whom the information pertains or to a 3rd party pursuant to a Power of Attorney, tax, or Privacy Act consent?*

No