

Date of Approval: **January 07, 2022**

PIA ID Number: **6577**

SYSTEM DESCRIPTION

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

Field Assistance Scheduling Tool, FAST

Is this a new system?

No

Is there a PCLIA for this system?

Yes

What is the full name, acronym, and milestone of the most recent PCLIA?

Field Assistance Scheduling Tool v2, FAST, O&M

What is the approval date of the most recent PCLIA?

12/3/2018

Changes that occurred to require this update:

Expiring PCLIA

Were there other system changes not listed above?

No

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

Technology Integration Board (TIB)

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.

The Field Assistance Scheduling Tool (FAST) is an application to allow Field Assistance (FA) and Accounts Management (AM) employees to schedule appointments with taxpayers. The IRS employee (not the taxpayer) uses this system. FAST is a FedRAMP Moderate cloud-based solution leveraging a vendor product that includes a hierarchical set of user groups with varied access levels dependent upon the IRS employee's role. FAST will allow detailed metrics to be available for specific user groups to determine taxpayer trends and make strategic decisions based upon Taxpayer and Taxpayer Assistance Center (TAC) needs. Taxpayers call in to make an appointment, the AM assistor attempts to provide assistance over the phone. If they can't provide assistance, they access the FAST system to schedule an appointment. The tool allows the employee to specify whether the taxpayer needs an interpreter, Spanish speaking assistance, or other special needs, and will find them the closest TAC with those availabilities. An e-mail is auto generated (containing no PII) to remind the taxpayer of the appointment time set. E-mail is sent according to Internal Revenue Manual (IRM) 10.5.1.6.8.1, Emails to Taxpayers and Representatives.

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

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

SSN is needed. No plan to eliminate. The plan is to have the SSN put in the FAST scheduled appointment.

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

The Office of Management and Budget Circular A-130 requires that federal agencies develop a mitigation or elimination strategy for systems that use SSNs, which the Service continues to develop strategies to meet. An exception to that requirement is when the SSN is uniquely needed to identify a user's record. FAST requires the use of SSNs because no other identifier can be used to uniquely identify a taxpayer at this time. SSNs are permissible from Internal Revenue Code (IRC) 6109, which requires individual taxpayers to include their SSNs on their income tax returns.

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

Yes

Specify the PII Elements:

Name
Phone Numbers
E-mail Address

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).

PII for federal tax administration is generally Internal Revenue Code Sections 6001, 6011, & 6012e(a)

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

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.

PII is needed to capture taxpayer information: Name, phone number and email address to schedule face to face appointments in Field Assistance (FA) TAC. SSN will be needed in order to do an account review and any authentication needed before the taxpayer arrives for the appointment. Phone number is needed in case contact with the taxpayer is needed, and e-mail address will be used to generate an e-mail reminder of the appointment. No PII or SBU is included in the e-mail. The taxpayer's SSN is required when scheduling an appointment at a Social Security office co-located site. IRM 21.3.4.2.4.5.6.2 (10/01/2020) TACs Co-located in Social Security Administration (SSA) Offices 1. There are six TAC locations that have temporarily moved from their original location to a local SSA office. These locations are: o Presque Isle, ME o Norwich (New London), CT o Danville, VA o North Platte, NE o Mansfield, OH o Mt. Vernon, IL 2. All contacts at these co-located TACs require an appointment. o Services are limited. o No cash is accepted. o No OPI service for a language interpreter is available. o No ITIN authentication service. 3. Taxpayers that receive assistance at the SSA office go through a pre-clearance process. Ask the taxpayer for their SSN and if they agree to share this information with the SSA, record their "Social Security Number" in the Taxpayer's Information field. Suggested Script: "Your appointment will be scheduled at one of our IRS Taxpayer Assistance Centers that is located within the Social Security Administration Office. To ensure safety and security of our customers and staff, can we have your Social Security Number (if not already provided during the contact) and have permission to share your Social Security number with the Social Security Administration office for pre-clearance purposes?" 4. If the taxpayer does not consent to us sharing their SSN with the SSA, offer to schedule an appointment for the taxpayer at the next closest TAC to their location. Suggested Script: "Since providing your SSN to the SSA is a requirement for entering the SSA office, I won't be able to schedule an appointment for you at that office. However, I can schedule an appointment for you at the next closest IRS office, if that is acceptable." EXCEPTION: Taxpayers who do not have an SSN can also be scheduled for an appointment in these TACs. For an ITIN taxpayer with an account inquiry, check the box that states Check box if taxpayer has an ITIN and enter the ITIN instead of an SSN. 6. Before closing the conversation, review the scheduled appointment with the taxpayer: o Ensure the spelling of taxpayer's name is accurate (proper spelling is needed for searches and identification at appointment). o Ensure the date, time, and reason for appointment are communicated and acknowledged by the taxpayer. Ensure the taxpayer understands the length of the appointment that is scheduled. o Provide the confirmation number. o Provide the address of the SSA office, advise the taxpayer that they will be entering the SSA office for their IRS appointment. Advise this address is not available on IRS.gov and repeat the address to the taxpayer, as needed. o Ensure all documents or items the taxpayer needs to bring to the appointment have been itemized and understood. o Advise taxpayer o Advise the taxpayer to arrive at the building early to allow for security procedures and that they will be directed to the IRS employee's workstation upon entering the SSA office for their IRS appointment. Suggested script: "Your appointment is scheduled for (date) at (time) for (time allotted). Just a reminder, you will be going to the Social Security Administration Office for

your IRS appointment. The address of the Social Security office is (address). You will be directed to the IRS employee's workstation once you enter the Social Security office. Please remember to bring a photo ID along with (other documentation needed for appointment that has been already discussed) to your appointment."

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

Taxpayer information is validated at the time of the scheduled appointment by FA employees. Taxpayers are taken through an approved authentication process before information is discussed.

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 00.009 Taxpayer Assistance Center (TAC) Recorded Quality Review Records

IRS 34.037 Audit Trail and Security 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?

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?

Yes

Is the cloud service provider (CSP) Federal Risk and Authorization Management Program (FedRAMP) certified?

Yes

Date Certified.

12/8/2017

Please identify the ownership of the CSP data.

IRS

Does the CSP allow auditing?

Yes

Who audits the CSP Data?

3rd Party

What is the background check level required for CSP?

Moderate

Is there a breach/incident plan on file?

Yes

Privacy laws (including access and ownership) can differ in other countries. This cloud will be Continental US (CONUS) only for:

Storage
Transmission
Maintenance

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?

The Customer Service Representative will notify the taxpayer when requesting the SSN. Language will be used that has been approved by Counsel. IRM 21.3.4.2.4.5.6.2 (10/01/2020) TACs Co-located in Social Security Administration (SSA) Offices 3. Taxpayers that receive assistance at the SSA office go through a pre-clearance process. Ask the taxpayer for their SSN and if they agree to share this information with the SSA, record their "Social Security Number" in the Taxpayer's Information field. Suggested Script: "Your appointment will be scheduled at one of our IRS Taxpayer Assistance Centers that is located within the Social Security Administration Office. To ensure safety and security of our customers and staff, can we have your Social Security Number (if not already provided during the contact) and have permission to share your Social Security number with the Social Security Administration office for pre-clearance purposes?" 4. If the taxpayer does not consent to us sharing their SSN with the SSA, offer to schedule an appointment for the taxpayer at the next closest TAC to their location. Suggested Script: "Since providing your SSN to the SSA is a requirement for entering the SSA office, I won't be able to schedule an appointment for you at that office. However, I can schedule an appointment for you at the next closest IRS office, if that is acceptable." EXCEPTION: Taxpayers who do not have an SSN can also be scheduled for an appointment in these TACs. For an ITIN taxpayer with an account inquiry, check the box that states Check box if taxpayer has an ITIN and enter the ITIN instead of an SSN. 6. Before closing the conversation, review the scheduled appointment with the taxpayer: o Ensure the spelling of taxpayer's name is accurate (proper spelling is needed for searches and identification at appointment). o Ensure the date, time, and reason for appointment are communicated and acknowledged by the taxpayer. Ensure

the taxpayer understands the length of the appointment that is scheduled. o Provide the confirmation number. o Provide the address of the SSA office, advise the taxpayer that they will be entering the SSA office for their IRS appointment. Advise this address is not available on IRS.gov and repeat the address to the taxpayer, as needed. o Ensure all documents or items the taxpayer needs to bring to the appointment have been itemized and understood. o Advise taxpayer o Advise the taxpayer to arrive at the building early to allow for security procedures and that they will be directed to the IRS employee's workstation upon entering the SSA office for their IRS appointment. Suggested script: "Your appointment is scheduled for (date) at (time) for (time allotted). Just a reminder, you will be going to the Social Security Administration Office for your IRS appointment. The address of the Social Security office is (address). You will be directed to the IRS employee's workstation once you enter the Social Security office. Please remember to bring a photo ID along with (other documentation needed for appointment that has been already discussed) to your appointment."

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):

Verbally to call site phone assistor.

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

FAST is an appointment scheduling tool but due process is provided per Title 26 for any tax-related issues the taxpayer is inquiring about.

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 Contractor Operated

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

IRS Employees

Users: Read Write

Managers: Read Write

System Administrators: Administrator

Developers: Administrator

IRS Contractor Employees

Contractor Users: Read Write

Contractor Managers: Read Write

Contractor System Administrators: Administrator

Contractor Developers: Administrator

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

The FA team has implemented a Role-based Access Control structure to access the data in FAST. The FA group has determined who gets access to the data. The user will be required to go through the Business Entitlement Access Request System (BEARS) to request access to FAST. Access to the data is determined by the manager based upon a user's position and need-to-know. The manager will request a user to be added. They must submit the request via the Business Entitlement Access Request System (BEARS) process to request access to the system.

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.

FAST recordkeeping data is approved for destruction in accordance with National Archives and Records Administration (NARA) Job Number N1-058-10-016. All records housed in the system will be erased or purged from the system after a three-year retention period as required under IRM 1.15.6 Managing Electronic Records. All records housed in the FAST system will be erased or purged from the system in accordance with approved retention periods. It is the official repository for data and documents and has NARA approval to affect data disposition. Any records generated and maintained by the system will be managed according to requirements under IRM 1.15.1 and 1.15.6, and will be destroyed using IRS Records Control Schedule 31, Item 25b and as coordinated with the IRS Records and Information Management Program and IRS Records Officer.

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?

3/31/2022

Describe the system's audit trail.

All auditing for the FAST system will be handled by the contractor who uses a distributed deployment model to collect audit log data from servers and centralize indexing to support information searches and audits. Log data is captured locally on devices in syslogs. Login Events, Web Application Logs, System Events, User Account Management; Authorization Checks, Privileged Functions, System Events, Data Access, Data Changes, Data Deletions, Permission Changes, Object Access, and Policy Changes are the auditable events that will be captured by the system. FAST is following the appropriate audit trail elements pursuant to current Audit Logging Security Standards.

PRIVACY TESTING

Does the system require a System Test Plan?

Yes

Is the test plan completed?

Yes

Where are the test results stored (or documentation that validation has occurred confirming that requirements have been met)?

On the FAST project SharePoint page.

Were all the Privacy Requirements successfully tested?

Yes

Are there any residual system privacy, civil liberties, and/or security risks identified that need to be resolved?

No

Describe what testing and validation activities have been conducted or are in progress to verify and validate that the applicable Privacy Requirements (listed in header) have been met?

Testing and validation activities will be conducted by the vendor to meet FEDRAMP approved controls. Please note the application will inherit all vendor FEDRAMP approved security controls.

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: Under 50,000

Contractors: Under 5,000

Members of the Public: More than 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