

**A. SYSTEM DESCRIPTION**

1. Enter the full name and acronym for the system, project, application and/or database. ICCE, Order A Transcript, OAT

2. Is this a new system? No

2a. If **no**, is there a PIA for this system? No

3. Check the current ELC (Enterprise Life Cycle) Milestones (select all that apply)

- No Vision & Strategy/Milestone 0
- No Project Initiation/Milestone 1
- No Domain Architecture/Milestone 2
- No Preliminary Design/Milestone 3
- No Detailed Design/Milestone 4A
- No System Development/Milestone 4B
- No System Deployment/Milestone 5
- Yes Operations & Maintenance (i.e., system is currently operational)

4. Is this a Federal Information Security Management Act (FISMA) reportable system? Yes

**A.1 General Business Purpose**

5. 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 Integrated Customer Communications Environment (ICCE) web application Order a Transcript (OAT) allows taxpayers to request a transcript of a tax return or a tax account. The requested document(s) is/are delivered via United States Postal Service to the address of record found on IRS data store.

**B. PII DETAIL**

6. Does the system use, collect, receive, display, store, maintain, or disseminate IR Code 6103 taxpayer information; or any type of Sensitive but Unclassified (SBU) or Personally Identifiable Information (PII)? Yes

6a. If **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

If **yes**, check who the SSN (or tax identification number) is collected on.

Yes On Primary Yes On Spouse No On Dependent

If **yes**, check all types SSN s (or tax identification numbers) that apply to this system:

- Yes Social Security Number (SSN)
- No Employer Identification Number (EIN)

No	Individual Taxpayer Identification Number (ITIN)
Yes	Taxpayer Identification Number for Pending U.S. Adoptions (ATIN)
No	Practitioner Tax Identification Number (PTIN)

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

This application only displays the last 4 digits of Social Security Number (SSN) (first 5 digits are masked). The application cannot mitigate the use of SSNs until an alternate identifier has been adopted by the IRS to identify taxpayers.

6b. Does this system contain other (non-SSN) PII that it uses, collects, receives, displays, stores, maintains, or disseminates? (i.e. Names, addresses, etc.) No

6c. Does this system contain SBU information that is not PII, it uses, collects, receives, displays, stores, maintains, or disseminates? No

6d. Are there other types of SBU/PII used in the system? No

6e. Cite the authority for collecting SBU/PII (including SSN if relevant)

Yes	PII for federal tax administration is generally Internal Revenue Code Sections 6001, 6011, 6012e(a)
Yes	SSN for tax returns and return information is Internal Revenue Code Section 6109
No	SSN for personnel administration (IRS Employees) is 5 USC & Executive Order 9397
No	PII for personnel administration is 5 USC
No	PII about individuals for Bank Secrecy Act compliance 31 USC
No	Information by CI for certain money laundering cases may be 18 USC

6f. Has the authority been verified with the system owner? Yes

---

## **B.1 BUSINESS NEEDS AND ACCURACY**

---

7. 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.

Without the PII data (SSN/Individual Taxpayer Identification Number (ITIN), OAT would not be able to provide the service being requested by the taxpayer. Without the Address and Date of Birth, OAT would not be able to confirm the user is who they are presenting themselves as.

8. How is the SBU/PII verified for accuracy, timeliness, and completeness? Explain how steps are taken to ensure that all information maintained by the system that is used by IRS to make any adverse determination about an individual's rights, benefits, and/or privileges is maintained with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination

Accuracy: Authentication must include data in a prescribed format and must meet a variety of validation criteria that ensure proper validation to the appropriate account. Timeliness: The status reflects the current processing time of Amended Returns throughout IRS. Completeness: OAT transactions are received in a required record format.

---

**C. PRIVACY ACT AND SYSTEM OF RECORDS**

---

9. Are 10 or more records containing SBU/PII maintained, stored, and/or transmitted by or through this system? Yes

9a. If **yes**, are records in the system retrieved by any personal identifier (e.g., name, SSN, Photograph, IP Address) for an individual? Yes

If **yes**, is there a System of Records Notice(s) or SORNs that addresses the PII records in this system? Yes

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

**SORNS Number SORNS Name**

Treas/IRS 24.030 IMF

Treas/IRS 24.046 BMF

If **yes**, does the System of Records Notice(s) (SORN) published in the Federal Register adequately describe the records as required by the Privacy Act? Yes

---

**D. RESPONSIBLE PARTIES**

---

10. Identify the individuals for the following system roles. ## Redacted Information For Official Use Only

---

**E. INCOMING PII INTERFACES**

---

11. Does the system receive SBU/PII from other system or agencies? No

---

**F. PII SENT TO EXTERNAL ORGANIZATIONS**

---

12. Does this system disseminate SBU/PII? Yes

12a. Does this system disseminate SBU/PII to other IRS Systems? Yes

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

<u>System Name</u>	<u>Current PIA?</u>	<u>PIA Approval Date</u>	<u>SA &amp; A?</u>	<u>Authorization Date</u>
TDS eServices	Yes	11/03/2015	Yes	02/14/2015

Identify the authority and for what purpose? OAT interacts with Transcript delivery system in order to pull customer transcripts.

12b . Does this system disseminate SBU/PII to other Federal agencies? No

---

**G. PRIVACY SENSITIVE TECHNOLOGY**

---

13. Does this system use social media channels? No
14. Does this system use privacy-sensitive technologies such as mobile, cloud, global position system (GPS), biometrics, RFID, etc.? No
15. Does the system use cloud computing? No
16. Does this system/application interact with the public? Yes
- 16a. If **yes**, was (or will) an electronic risk assessment (e-RA) conducted on the system/application? No
- If **no**, when will the e-RA be conducted? 7/1/2016

---

**H. INDIVIDUAL NOTICE AND CONSENT**

---

17. Was/is notice provided to the individual prior to collection of information? Yes
- 17a. If **yes**, how is notice provided? Was the individual notified about the authority to collect the information, whether such is mandatory or voluntary, the purpose for which the information will be used, with whom the information may be shared, and the effects, if any, if they decide not to provide any of the requested information?  
Notice, consent and due process are provided in the tax forms instructions, and pursuant to 5 USC.
18. Do individuals have the opportunity to decline from providing information and/or from consenting to particular uses of the information? Yes
- 18a. If **yes**, describe the mechanism by which individuals indicate their consent choice(s):  
Notice, consent and due process are provided in the tax forms instructions, and pursuant to 5 USC.
19. How does the system or business process ensure due process regarding information access, correction and redress?  
Notice, consent and due process are provided in the tax forms instructions, and pursuant to 5 USC.

---

**I. INFORMATION PROTECTION**

---

20. 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

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

IRS Employees? Yes

<u>IRS Employees?</u>	<u>Yes/No</u>	<u>Access Level(Read Only/Read Write/Administrator)</u>
Users	No	
Managers	No	
Sys. Administrators	Yes	Read-Only
Developers	No	

Contractor Employees? No

21a. How is access to SBU/PII determined and by whom? External Users - no external users will have access to the system data. Note that no account data is returned to the user. The user puts in a request to have a transcript mailed to them, and receive a status of the request. The Treasury Inspector General for Tax Administration can receive system data information by going through the proper channels. They do not have direct access to the system. Internal Employees – System Administrators, Database Administrators, and their Managers, as part of their official duties, will have access to the Transcript Delivery System orders file, and Management Information Systems data. A potential user will request access via the OL5081 system. This request has to be approved by the potential user's manager based on a user's position and need-to-know. Cyber Security will have access to Security Audit and Analysis System (SAAS) data and SAAS reports for applications assigned to them. Contractors, including Developers, will not have direct access to the OAT production system or database. Contractors receive a completed Moderate risk background investigation for staff-like access approval. Only IRS System Administrators will have access to the production environment. However, Developers are available to help System Administrators troubleshoot technology problems. In these cases, the System Administrator will provide the necessary information to the Developer so he/she can assist with the problem, which is considered indirect access since the System Administrator will provide the Developer with the necessary information as opposed to the Developer being able to access it directly.

21b. If computer matching occurs, can the business owner certify that it meets requirements of IRM 11.3.39 Disclosure of Official Information, Computer Matching & Privacy Protection Act ?

Not Applicable

---

## **I.1 RECORDS RETENTION SCHEDULE**

---

22. Are these records covered under the General Records Schedule (GRS), or have a National Archives and Records Administration (NARA) archivist approved a Record Control Schedule (RCS) for the retention and destruction of official agency records stored in this system? Yes

22a. If **yes**, how long are the records required to be held under the corresponding RCS and how are they disposed of? In your response, please include the complete IRM number 1.15.XX and specific item number and title.

All records housed in the system will be erased or purged from the system at the conclusion of their retention period(s) as required under Internal Revenue Manual (IRM) 1.15.6. A control log is maintained containing the media label ID, date and method of destruction, and the signature of the person who destroyed the media. 1040X master data file and associated records will be disposed of in accordance with Records Control Schedule (RCS) 29 for Tax Administration- Wage & Investment, Item 55-56. Recordkeeping copies of system data will be destroyed on or after January 16, 6 years after the end of the processing year (Job No. N1-58-95-1).

---

## **I.2 SA&A OR ECM-R**

---

23. Has the system been through SA&A (Security Assessment and Authorization) or ECM-R (Enterprise Continuous Monitoring Reauthorization)? In-process

23b. If **in process**, when is the anticipated date of the SA&A or ECM-R completion? 6/1/2016

23.1 Describe in detail the systems audit trail. OAT uses the ICCE capability to capture audit data and forward the data to an Enterprise Logging System - SAAS. OAT sits on the ICCE infrastructure, including servers and database, and has no hardware specifically assigned to OAT Management Information Technology System (MITS) 15 hardware. Auditing on these machines is outside the scope of the application, and falls under Enterprise Operations. OAT is accessed through the IRS System Architecture Registered User Portal Web Servers (MITS 18 hardware). Auditing on these machines is also outside the scope of the application, and falls under IRS Infrastructure. ICCE does not store audit data. Instead, audit records are created in memory and sent to SAAS as "forward and forget." There is no ability to access the audit information from the application or from the server on which the application runs. There is no access to the application source code from the production servers. All source code is stored in Rational Clearcase, and changes to code are accomplished by checking the code out of the repository and back in. The tool does versioning control of the source code. Deployment of the source code is accomplished via a Version Description Document.

---

## J. PRIVACY TESTING

---

24. Does the system require a System Test Plan? Yes

24b. If **yes**, Is the test plan in process or completed: In Process

If **in process**, when is the test plan scheduled for completion? 6/1/2016

24.3 If **completed/ or in process**, 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?

OAT complies with the requirements of IRM 10.8.1.3.4.6 in regards to developer security testing. This means that a work request (WR) or change request (CR) must be in place before a piece of code can be associated with it. Once development is completed the code is then checked back in for testing. There is a team staffed to accomplish independent testing before the code is promoted to production. A final review is accomplished by an in house staff leader. OAT WR/CR tickets can be Knowledge Incident/Problem Service Asset Management tickets related to production issues; they can be issues discovered during testing; or they can be user change requests.

---

## K. SBU Data Use

---

25. Does this system use, or plan to use SBU Data in Testing? No

---

## L. NUMBER AND CATEGORY OF PII RECORDS

---

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

26a. IRS Employees: Not Applicable  
26b. Contractors: Not Applicable  
26c. Members of the Public: More than 1,000,000  
26d. Other: No

---

## M. CIVIL LIBERTIES

---

27. Does the system maintain any information describing how any individual exercises their rights guaranteed by the First Amendment? No

28. Is the system information used to conduct data-mining as defined in the *Implementing the 9/11 Commission Recommendations Act of 2007, Public Law 110-53, Section 804*? No

29. Will this system have the capability to identify, locate, and monitor individuals or groups of people? No

---

#### **N. ACCOUNTING OF DISCLOSURES**

---

30. 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

---

**End of Report**

---