
A. SYSTEM DESCRIPTION

1. Enter the full name and acronym for the system, project, application and/or database. Enterprise Telephone Database, ETD-1

2. Is this a new system? No

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

If **yes**, enter the full name, acronym, PIA ID Number and milestone of the most recent PIA.

Enterprise Telephone Database, ETD_1

Next, enter the **date** of the most recent PIA. 10/1/2012

Indicate which of the following changes occurred to require this update (check all that apply).

- No Addition of PII
- No Conversions
- No Anonymous to Non-Anonymous
- No Significant System Management Changes
- No Significant Merging with Another System
- No New Access by IRS employees or Members of the Public
- No Addition of Commercial Data / Sources
- No New Interagency Use
- No Internal Flow or Collection

Were there other system changes not listed above? 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? No

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 Enterprise Telephone Database (ETD-1) is a data warehouse, which stores information from various systems or sources (Aspect Automatic Call Distributors, Cisco, Intelligent Contact Management (ICM), AT&T Telephone Reports, Integrated Customer Contact Environment (ICCE), Telephone Routing Information System (TRIS) Management Information System (MIS)) regarding IRS telephone service to taxpayers. In addition to being the data repository for telephone MIS, ETD also contains custom-built reports/applications utilizing this telephone data. The ETD system summarizes the data and produces multiple web-based reports used to evaluate the effectiveness of IRS telephone operations to properly evaluate the prior day's telephone performance. In addition to the web-based reports, ETD has a partitioned file share area which contains data from queries which are run against the ETD databases. It allows JOC and Business Operating Division (BOD) Analysts to use the data for the purpose of analyzing call patterns/activity related to their program areas. The primary users are Joint Operations Center (JOC) personnel, W&I and SBSE BOD Analysts both Compliance and Accounts Management; TEGE CAS Analysts, and managers at each of the IRS call sites. Information from the web-based reports is released to GAO only as authorized by statutory requirements.

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.)? No

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

No On Primary No On Spouse No On Dependent

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

No Social Security Number (SSN)
No Employer Identification Number (EIN)
No Individual Taxpayer Identification Number (ITIN)
No 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).

6b. Does this system contain other (non-SSN) PII that it uses, collects, receives, displays, stores, maintains, or disseminates? (i.e. Names, addresses, etc.) Yes

If **yes**, specify the information.

<u>Selected</u>	<u>PII Element</u>	<u>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>
No	Name	No	No	No
No	Mailing address	No	No	No
Yes	Phone Numbers	No	No	No

No	E-mail Address	No	No	No
No	E-mail Address	No	No	No
No	Date of Birth	No	No	No
No	Place of Birth	No	No	No
Yes	SEID	No	No	No
No	Mother's Maiden Name	No	No	No
No	Protection Personal Identification Numbers (IP PIN)	No	No	No
No	Internet Protocol Address (IP Address)	No	No	No
No	Criminal History	No	No	No
No	Medical Information	No	No	No
No	Certificate or License Numbers	No	No	No
No	Vehicle Identifiers	No	No	No
No	Passport Number	No	No	No
No	Alien (A-) Number	No	No	No
No	Financial Account Numbers	No	No	No
No	Photographic Identifiers	No	No	No
No	Biometric Identifiers	No	No	No
No	Employment (HR) Information	No	No	No
No	Tax Account Information	No	No	No

6c. Does this system contain SBU information that is not PII, it uses, collects, receives, displays, stores, maintains, or disseminates? Yes

If **yes**, select the types of SBU

<u>Selected</u>	<u>SBU Name</u>	<u>SBU Description</u>
Yes	Agency Sensitive Information	Information which if improperly used or disclosed could adversely affect the ability of the agency to accomplish its mission
No	Procurement sensitive data	Contract proposals, bids, etc.
No	Official Use Only (OUO) or Limited Official Use (LOU)	Information designated as OUO or LOU is information that: is exempt under one of the statutory Freedom of Information Act exemptions; is prohibited by other laws or regulations; would significantly impede the agency in carrying out a responsibility or function; or would constitute an unwarranted invasion of privacy.
No	Proprietary data	Business information that does not belong to the IRS
No	Protected Information	Information which if modified, destroyed or disclosed in an unauthorized manner could cause: loss of life, loss of property or funds by unlawful means, violation of personal privacy or civil rights, gaining of an unfair procurement advantage by contractors bidding on government contracts, or disclosure of proprietary information entrusted to the Government
No	Physical Security Information	Security information containing details of serious weaknesses and vulnerabilities associated with specific systems and

		facilities
No	Criminal Investigation Information	Information concerning IRS criminal investigations or the agents conducting the investigations.

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)

<u>Yes</u>	PII for federal tax administration is generally Internal Revenue Code Sections 6001, 6011, 6012e(a)
<u>No</u>	SSN for tax returns and return information is Internal Revenue Code Section 6109
<u>No</u>	SSN for personnel administration (IRS Employees) is 5 USC & Executive Order 9397
<u>No</u>	PII for personnel administration is 5 USC
<u>No</u>	PII about individuals for Bank Secrecy Act compliance 31 USC
<u>No</u>	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.

The collection and display of taxpayer's Automatic Number Identification (ANI) allows the IRS to understand, interpret and diagnose taxpayer service issues in order to improve quality. This information will identify congestion and demand against IRS toll free products that may subsequently require redesign or additional staffing to reduce the number of dialed attempts required to receive service. Organizations may request this information but special independent queries must be run against call detail records to cull and produce this information. In addition to the ANI, call detail records includes information about the agent that answered the call (SEID) how and/or why a call was disconnected or abandoned, date / time of the call, original CDN (Customer Dial Number), information on call duration, such as talk time, hold time, warp time, queue time, router call key / unique identifier for the call, skill group that handled the call, application the call was sent to (i.e. Refunds, IMF Accounts), which sites were available for queueing the call, language the customer selected, and announcements that played throughout the call.

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

The ETD reports are not driven by SBU/PII data, but by the information pertaining to the telephone call that is contained in the call detail records. There is validation of SBU or PII data because there is no report created in ETD that contains that type of data. Part of the call record is the customer's telephone number and the SEID of the assistor that handled the call. Telephone data is downloaded from Verizon telephone databases and compiled into a readable report. That data is then compared to prior week and year data along with other analyses to verify accuracy and completeness.

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

Treas/IRS 34.037 audit trail and security records system

Treas/IRS 00.001 correspondence

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. N/A

E. INCOMING PII INTERFACES

11. Does the system receive SBU/PII from other system or agencies? Yes

11a. If **yes**, does the system receive SBU/PII from IRS files and databases? Yes

If **yes**, enter the files and databases.

<u>System Name</u>	<u>Current PIA?</u>	<u>PIA Approval Date</u>	<u>SA & A?</u>	<u>Authorization Date</u>
Aspect Automatic Call Distributors	No		No	
Intelligent Contact Manager	No		No	

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

- 11c. Does the system receive SBU/PII from State or local agency (-ies)? No
- 11d. Does the system receive SBU/PII from other sources? No
- 11e. Does the system receive SBU/PII from **Taxpayer** forms? No
- 11f. Does the system receive SBU/PII from **Employee** forms (such as the I-9)? 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? No
- 12b . Does this system disseminate SBU/PII to other Federal agencies? Yes

If **yes** identify the full names of the federal agency(s) that receive SBU/PII from this system, and if there is an Inter-Agency Agreement (ISA) / Memorandum of Understanding (MOU)

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
Government Accountability Office (GAO)	Email	No

Identify the authority and for what purpose? Telephone performance reports are provided to GAO during Filing season (normally January through June) to monitor the performance of IRS during the busiest time of year. No SBU or PII data is included in any of the reports provided.

- 12c. Does this system disseminate SBU/PII to State and local agencies? No
- 12d. Does this system disseminate SBU/PII to IRS or Treasury contractors? Yes

If **yes**, identify the contractor source(s) that receive SBU/PII from this system, and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
IRS Contractors	Both Excel and XML files	No

Identify the authority and for what purpose? The IRS Contractors' role is to develop reports from the telephone data based on the requirements from the business. PII data is not used or displayed in any reports, only transmitted to ETD through the Intelligent Call Manager (ICM) as information from the source (Verizon, Alpine, etc.).

Did the contract include the appropriate 6103(n) clauses for tax return and return information, and Federal Acquisition Regulations privacy clauses?
Yes

- 12e. Does this system disseminate SBU/PII to other Sources? 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? No

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?

The system will allow affective parties the opportunity to clarify or dispute negative information that could be used against them. Due process is provided 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):
The system uses data entered from tax returns filed by taxpayers. They are notified of such collection by the Privacy Act Notice in the tax return instructions.

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

The system uses data entered from tax returns filed by taxpayers. They are notified of such collection by the Privacy Act Notice in the tax return instructions.

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>	Yes/No	Access Level(Read Only/Read Write/Administrator)
Users	Yes	Read-Only
Managers	Yes	Read-Only
Sys. Administrators	Yes	Read and Write
Developers	No	

Contractor Employees? Yes

<u>Contractor Employees?</u>	Yes/No	Access Level	Background Invest.
Contractor Users	Yes	Read-Only	High
Contractor Managers	Yes	Read-Only	High
Contractor Sys. Admin.	Yes	Read-Only	High
Contractor Developers	Yes	Read-Only	High

21a. How is access to SBU/PII determined and by whom? Access to the raw data is approved by the project manager based solely on impact to the system performance. This is the only method the PII in the system can be accessed and is not available to the average user. Access to the information is only granted through the OL5081 application.

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 ?
Yes

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.

The IRS Records Office has identified approval for the destruction of legacy ETD-related data under Records Control Schedule 31 for Customer Service, Item 18. However, in reviewing ETD use and recordkeeping needs for completion of this PIA, system owners and the IRS Records Office determined that a re-evaluation of RCS 31, Item 18 is in order. W&I and the Records Office will work together to update the item to better fit current data collection activities and maintenance needs, and the current electronic recordkeeping environment. Upon completion of the update to RCS 31, all records housed in ETD will be erased or purged from the system at the conclusion of their retention period(s) as required under IRM 1.15.6, approved retention periods as outlined in IRS Doc. 12290, Records Control Schedule (RCS) 31, Item 10 (1), and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer.

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)? Yes

23a. If **yes**, what date was it completed? 11/1/2012

23.1 Describe in detail the system's audit trail. No Audit trail, for users of the ETD-1 web site, has been implemented because there was no benefit in tracking detailed user information when the data available to the user in EDT-1 could not be used to identify an individual and all users were behind the IRS firewall. Access to the data base is controlled by the 5081 process. In addition, any change to production coming out of the development/test environments are submitted via the transmittal process. The transmittal contains the developer's name and phone number. Further, only the SAs (the specific IRS IT employees) have write access. This small group of IRS employees as well as all other users of the database would have to use Microsoft sql queries to see EDT-1 data and the sql logs are the audit trail for those actions. Their access is also obtained through the OL5081 application. SQL logging is unavailable to us at this time due to space limitations on the production server. Our plan is to incorporate all of the new WPC compliance settings with the Windows 2008 upgrade after the 2016 filing season. We would

need to free up some storage in order to configure our audit settings if we need to implement before we upgrade to the 2008 server.

J. PRIVACY TESTING

24. Does the system require a System Test Plan? No

24c. If **no**, please explain why. All monitoring and evaluating activities are done by the ETD-1 programs that manage the ETD-1.

K. SBU Data Use

25. Does this system use, or plan to use SBU Data in Testing? Yes

25a. If **yes**, was permission granted per the requirements of Form 14664, SBU Data Use Questionnaire or Form 14665, SBU Data Use Request?

Yes

If **yes**, provide the date the permission was granted. 4/21/2015

25b. If **yes**, was testing performed in conformance with IRM 10.8.8 Information Technology (IT) Security, Sensitive But Unclassified (SBU) Data Policy? Yes

L. NUMBER AND CATEGORY OF PII RECORDS

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

26a. IRS Employees:	<u>Under 50,000</u>
26b. Contractors:	<u>Not Applicable</u>
26c. Members of the Public:	<u>Not Applicable</u>
26d. Other:	<u>No</u>

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
