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**A. SYSTEM DESCRIPTION**

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1. Enter the full name and acronym for the system, project, application and/or database. Field Assistance Contact Recording, FACR

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.

Field Assistance Contact Recording, FACR, 864, O&M

Next, enter the **date** of the most recent PIA. 7/2/2014

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

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

Were there other system changes not listed above? Yes

If yes, explain what changes were made. Need to update, current PIA which is three years old. Update to encryption method and patch correcting known playback issue

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

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

4. Is this a Federal Information Security Management Act (FISMA) reportable system? No

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**A.1 General Business Purpose**

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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.

Field Assistance Contact Recording (FACR) is a desktop recording tool that captures audio conversations between the taxpayer and the Individual Taxpayer Advisory Specialist (ITAS) as well as screen views of the corresponding computer research and input. This tool allows Wage & Investment (W&I) and Field Assistance (FA) managers and quality reviewers a resource for monitoring contacts resulting in more thorough, efficient and effective reviews. Quality customer service depends on the Service's ability to provide correct answers to customer inquiries, timely correction of errors, and identification of trends for strategic planning purposes. An essential element is the ability to assure management and other stakeholders that employees are providing correct answers in a courteous and professional manner. Due process is provided pursuant to 5 USC and applicable labor law.

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**B. PII DETAIL**

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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            Yes    On Dependent

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

Yes	Social Security Number (SSN)
Yes	Employer Identification Number (EIN)
Yes	Individual Taxpayer Identification Number (ITIN)
Yes	Taxpayer Identification Number for Pending U.S. Adoptions (ATIN)
Yes	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).

NA The FACR system only records the audio from taxpayers and assistors and screen captures from other IRS systems. The FACR software cannot make any changes to the files once recorded. There is no planned mitigation strategy to mitigate or eliminate the use of the SSN on the system.

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.

Selected	PII Element	On Primary	On Spouse	On Dependent
Yes	Name	Yes	Yes	Yes
Yes	Mailing address	No	No	No
Yes	Phone Numbers	No	No	No
No	E-mail Address	No	No	No
Yes	Date of Birth	Yes	Yes	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
Yes	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
Yes	Tax Account Information	Yes	Yes	Yes

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.

The primary purpose is for quality. The information is collected so the Centralized Quality Review System (CQRS) can evaluate whether the assistor gave the taxpayer a correct answer or not. In order to assist taxpayers assistors must be able to verify disclosure to access their tax information. This is done by accessing the information and accounts vis the taxpayers SSN.

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 NA PII data is not verified in FACR

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

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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.

<u>SORNS Number</u>	<u>SORNS Name</u>
Treas/IRS 008	Recorded Quality Review Records
Treas/IRS 00.009	Taxpayer Assistance Center (TAC) Recorded Quality

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

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**D. RESPONSIBLE PARTIES**

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

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**E. INCOMING PII INTERFACES**

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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 &amp; A?</u>	<u>Authorization Date</u>
Integrated Automated Technologies (IAT)	Yes	06/21/2016	Yes	06/18/2013
Remittance Transaction Research (RTR)	Yes	11/12/2015	Yes	10/09/2016
Control-D WebAccess (CTDWA)	Yes	12/23/2012	Yes	04/23/2013
Integrated Data Retrieval System (IDRS)	Yes	08/03/2014	Yes	10/14/2016
Accounts Management System (AMS)	Yes	12/02/2014	Yes	03/16/2017
Modernized e-File (MeF)	Yes	02/23/2016	Yes	11/03/2016
Field Assistance Queuing Management System (Q-Matic)	Yes	08/14/2014	Yes	03/12/2013
ACSWEB	Yes	11/12/2015	Yes	11/28/2012

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? Yes

If **yes**, identify the forms

<u>Form Number</u>	<u>Form Name</u>
941	Quarterly Employment Tax Return
1040	Individual Income Tax Return
940	Federal Unemployment Tax Return
1099	Information Returns
1065	Partnership Return
1120 & 1120S	Corporate and S-Corp Return

11f. Does the system receive SBU/PII from **Employee** forms (such as the I-9)? No

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#### **F. PII SENT TO EXTERNAL ORGANIZATIONS**

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12. Does this system disseminate SBU/PII? No

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#### **G. PRIVACY SENSITIVE TECHNOLOGY**

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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

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#### **H. INDIVIDUAL NOTICE AND CONSENT**

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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 is provided by the display of sign, Publication 5004, informing the taxpayer the conversation will be recorded for quality and training purposes. The publication does not mention the authority to collect information, any sharing, or effects on declining to be recorded. FACR does not directly provide individuals the opportunity to decline from providing information and/or from consenting to particular uses of the information. Notice, consent and due process are provided in the tax forms instructions filed by the taxpayer, 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): Asking the assistor to turn off the recording

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

Notice is provided by the display of sign, Publication 5004, informing the taxpayer the conversation will be recorded for quality and training purposes. The publication does not mention the authority to collect information, any sharing, or effects on declining to be recorded. FACR does not directly provide individuals the opportunity to decline from providing information and/or from consenting to particular uses of the information. Notice, consent and due process are provided in the tax forms instructions filed by the taxpayer, and pursuant to 5 USC. Access is granted by system administrators through the use of assigned roles with corresponding scope granted after OL5081s are approved. FACR does not have the ability to correct or remedy any PII. The PII in FACR is captured from other IRS systems.

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**I. INFORMATION PROTECTION**

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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	Yes	Read-Only
Managers	Yes	Read-Only
Sys. Administrators	Yes	Read-Only
Developers	No	

Contractor Employees? Yes

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

21a. How is access to SBU/PII determined and by whom? Users complete an OL5081 to request access to FACR which is submitted to their manager. Part of the job requires accessing PII from IRS systems. Once approved, the user is given a specific profile with controls on what data can be viewed in the FACR system. FACR Administrators assign the roles and grant the access level. Administrators cannot modify their own profiles.

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

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## I.1 RECORDS RETENTION SCHEDULE

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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.

FACR records/data are retained in accordance with Internal Revenue Service Records Control Schedule (RCS) 31, items 24 and 25 (published in Document 12990). Audio and screen captures used for evaluative reviews are deleted from the server after 18 months. Non-evaluated files are deleted no longer than 45 days from the date of the original recording. No PII data is retained by contractors or employees.

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

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23. Has the system been through SA&A (Security Assessment and Authorization) or ECM-R (Enterprise Continuous Monitoring Reauthorization)? No

23c. If **no**, is the system secured in accordance with all applicable federal, treasury, and IRS security policy, procedures, and requirements? Yes

23.1 Describe in detail the system's audit trail. Audit Trail provides a record of the actions performed in the FACR Impact360 applications. It allows you to track who logged in to the system, performed a search, played back, reviewed or flagged contacts, and deleted items from the application. Each action is noted in the Audit Trail file, accompanied by the name of the user who performed it and the date and time the action was performed. The Audit Trail file is created once a day in the K:\Impact360\Data\Logs\Audit Trail on the FACR Impact360 IIS Server. When you access the Impact360 web portal, you are accessing a URL on the FACR Impact360 IIS Server. The file is created with the \*.lrf extension and named in the following format: Audit Trail [month.day.year] [hour.minute.seconds.milliseconds]. The hour the file is created is determined by the last time the Application Server was restarted. For example, if you restarted the Application Server at 16:45, the file will include all activities performed from 16:45 on the previous day to 16:44 on the day on which it is created. At any point in time, a history of the last 10 audit trail files is available. Each day when a new file is created (the eleventh file in the folder), the oldest of the existing files is deleted. The Audit Trail file can be viewed on the Application Server in a text editor (such as Notepad or WordPad). Alternatively, you can copy the file to a computer on which Microsoft Excel is installed so that you can view the file in table format and take advantage of the application's sorting and filtering features.

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## J. PRIVACY TESTING

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

24b. If **yes**, is the test plan in process or completed: Completed

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?

FACR cannot validate or verify the PII within the systems that it accesses.

24b.1. If **completed**, where are the test results stored (or documentation that validation has occurred confirming that requirements have been met)? The results are stored in the Enterprise Milestones from the initial software installation and the server upgrade.

24b.2. If **completed**, were all the Privacy Requirements successfully tested? Yes

24.2 If **completed**, are there any residual system privacy, civil liberties, and/or security risks identified that need to be resolved? No

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#### **K. SBU Data Use**

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

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#### **L. NUMBER AND CATEGORY OF PII RECORDS**

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

26a. IRS Employees:	<u>More than 100,000</u>
26b. Contractors:	<u>Not Applicable</u>
26c. Members of the Public:	<u>More than 1,000,000</u>
26d. Other:	<u>No</u>

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#### **M. CIVIL LIBERTIES**

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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

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

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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

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**End of Report**

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