

Date of Approval: **March 25, 2020**

PIA ID Number: **4805**

SYSTEM DESCRIPTION

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

Get Transcript, Get Trans

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?

Get Transcript, GetTrans, 1994

What is the approval date of the most recent PCLIA?

3/9/2017

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.

Small Business/Self-Employed (SE/SB) Governance Board

Current ELC (Enterprise Life Cycle) Milestones:

System Deployment/Milestone 5

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

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

Yes

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.

Get Transcript (GetTrans) is an online service that offers taxpayers a quick and direct way to view, print and download their transcripts for several tax years. Get Transcript includes two web options for fulfilling IMF transcript requests: Get Transcript Online and Get Transcript by Mail. Get Transcript (GetTrans) will be the primary channel for IMF transcript requests. The online application will be available 24 hours a day, seven days a week.

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:

Interfaces with external entities that require the SSN

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)

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.

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

The system requires the use of the full SSN and a mitigation strategy is currently not required. No alternative exists currently for the application. This program is aware of and part of the IRS-wide SSN elimination and reduction program

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

Mailing address

Phone Numbers

Date of Birth

Tax Account Information

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.

"Get Transcript" includes two web options for fulfilling IMF transcript requests - "Get Transcript Online" and "Get Transcript by Mail". "Get Transcript" will be the primary channel for IMF transcript requests. The online application will be available 24 hours a day, seven days a week. "Get Transcript Online" offers the taxpayer with an SSN the ability to generate all five types of transcripts (tax account, tax return, record of account, wage and income, and verification of non-filing) and either view online, print, or download.

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

GetTrans does not verify any PII data. eAuth verifies user prior to their gaining access to GetTrans. PII data contained in transcripts is verified by the multiple systems that create/modify taxpayer information. Those systems have the appropriate data quality provisions, GetTrans allows the user to access and verify the information, but the other systems have the correction and redress mechanisms. 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.

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 24.030 Customer Account Data Engine Individual Master File

IRS 24.046 Customer Account Data Engine Business Master File

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?

Yes

Does the system receive SBU/PII from IRS files and databases?

Yes

Enter the files and databases:

System Name: Transcript Delivery System (TDS)

Current PCLIA: Yes

Approval Date: 5/13/2019

SA&A: Yes

ATO/IATO Date: 1/17/2020

System Name: Individual Return Transaction File (IRTF)

Current PCLIA: No

SA&A: No

System Name: Information Returns Master File Processing (IRMF)

Current PCLIA: Yes

Approval Date: 3/9/2017

SA&A: Yes

ATO/IATO Date: 10/10/2019

System Name: Standard CFOL Access Protocol (SCAP)
Current PCLIA: Yes
Approval Date: 5/29/2019
SA&A: Yes
ATO/IATO Date: 7/2/2019

System Name: Individual Master File (IMF)
Current PCLIA: Yes
Approval Date: 3/6/2017
SA&A: Yes
ATO/IATO Date: 10/3/2019

Does the system receive SBU/PII from other federal agency or agencies?

No

Does the system receive SBU/PII from State or local agency (-ies)?

No

Does the system receive SBU/PII from other sources?

No

Does the system receive SBU/PII from Taxpayer forms?

Yes

Please identify the form number and name:

Form Number: 4506-T-EZ Form Name: Short Form Request for Individual Tax Return Transcript

Form Number: Form 4506-T Form Name: Request for Transcript of Tax Return

Form Number: Form 4506 Form Name: Request for Copy of Tax Return

Does the system receive SBU/PII from Employee forms (e.g. the I-9)?

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: eAuthentication

Current PCLIA: Yes

Approval Date: 8/19/2019

SA&A: Yes

ATO/IATO Date: 10/3/2019

Identify the authority

Tax administration authority. GetTrans still disseminates but does so blindly of SSN's in the system. It only displays the full SSN in the pdf generated by Transcript Delivery System after authentication.

For what purpose?

It only displays the full SSN in the pdf generated by Transcript Delivery System after authentication.

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?

Yes

Was an electronic risk assessment (e-RA) conducted on the system/application?

Yes

When was the e-RA completed?

12/4/2019

What was the approved level of authentication?

Level 2: Some confidence in the asserted identity's validity
Confidence based on Knowledge Based Authentication (Out of Wallet)

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?

Under these sections, response is mandatory. Code section 6109 requires the individual provide an identifying number Using GetTrans is voluntary and the retrieval of tax information will be tracked.

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):

This system is used solely at the discretion of the user to retrieve tax transcripts, individuals are not required to use the application.

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

GetTrans is a retrieval-only system, the user can follow due process to fix the data in the other systems.

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: Administrator

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

Access to the data is determined by the System Administrator based on a user's position and need-to-know. Contractors, including Developers, will not have direct access to the Get Trans 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. Information requested by the Treasury Inspector General for Tax Administration must be properly vetted and cleared for release.

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.

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).

SA&A OR ASCA

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

Yes

What date was it completed?

5/17/2019

Describe the system's audit trail.

Get Trans uses the Integrated Customer Communication (ICCE) capability to capture audit data and forward the data to an Enterprise Logging System - SAAS. Get Trans sits on the ICCE infrastructure, including servers and database, and has no hardware specifically assigned to Get Trans Management Information Technology System (MITS) 15 hardware. Auditing on these machines is outside the scope of the application and falls under Enterprise Operations. Get Trans 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.

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)?

The test results are stored in DocIt, the online repository for the IRS.

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?

Get Trans 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.

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