

Date of Approval: **June 08, 2021**

PIA ID Number: **6102**

SYSTEM DESCRIPTION

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

Customer Callback Technical Demonstration, CCB

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?

Customer Callback Technical Demonstration, CCB

What is the approval date of the most recent PCLIA?

5/9/2018

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.

User and Network Services (UNS), 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.

In 2018, IRS initiated a Technical Demonstration (TD) to assess the feasibility and applicability of customer call back at the IRS with special emphasis on caller's acceptance of this service and the impact it may have on operations. This initial step, known as the Customer Callback (CCB) Phase I, deployed callback service to the Enterprise Service Desk's (ESD) Password Reset and General Assistance lines. IRS employees welcomed this enhancement resulting in about 30% of the callers who were offered a callback using this service. Positive feedback from the users reflected the system's ability to improve customer satisfaction. Following the success of the initial ESD deployment, IRS leadership decided to expand this service to a selected taxpayer-facing (Balance Due) application in early 2019. The CCB initiative aligns with the strategic goal of empowering all taxpayers to meet their tax obligations, lowers taxpayer burden by enhancing options for taxpayers seeking assistance and is an add-on feature to the call handling environment while maintaining existing call flows for non-callback calls. Additionally, customer call back does not alter how agents perform their functions today or how IRS manages the call volumes. Both ESD and the Business see value in callback as a tool to improve customer service and reported continued positive feedback from callback customers. Callback statistics show that customers are using the service and that the system is successful in reconnecting callback callers. This will be a continuation of the 2019 initiative of expanding to additional taxpayer facing applications.

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.)?

No

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:

Phone Numbers
Employment Information
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)

PII for personnel administration is 5 USC

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.

The only information collected from the taxpayer is their phone number, no other information is collected.

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

Only the taxpayers telephone number is collected and used. The telephone number is received from the taxpayer accuracy, timeliness and completeness is assumed because the taxpayer is the source. Adverse determination about an individual's rights, benefits and/or privileges cannot be derived from the phone number provided by the taxpayer nor can a determination of fairness be derived from a phone number provided by the taxpayer.

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 00.001 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?

Yes

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

No

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?

Yes

Identify the source that sends the SBU/PII, how the SBU/PII is transmitted and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

Organization Name: Customer or Taxpayer Input
Transmission Method: via touchtone on phone
ISA/MOU: No

Does the system receive SBU/PII from Taxpayer forms?

No

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?

No

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?

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).

Organization Name: Verizon
Transmission Method: Network Transfer
ISA/MOU: Yes

Identify the authority.

Authority and purpose is USC 5

For what purpose?

No

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

No

Explain:

Tax return or return information not being exchanged.

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?

Not Applicable

Please explain.

Taxpayer enters phone number directly in the Verizon 3rd party Interactive voice response (IVR) system.

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?

Audio message to taxpayers on how to select the call back option.

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):

By not selecting the callback option in the IVR menu.

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

N/A, the IRS does not give any access other than select the call back option.

INFORMATION PROTECTION

Identify the owner and operator of the system (could be IRS owned and Operated; IRS owned, contractor operated; contractor owned and operated).

Contractor Owned and Operated

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

IRS Employees

System Administrators: Administrator

Developers: Read Write

IRS Contractor Employees

Contractor System Administrators: Administrator

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

Security roles and responsibilities are inherited from the Intelligent Call Manager (ICM) & Customer Voice Portal (CVP) which are based on established IRS procedures for access using OL5081 and rules described in the Unauthorized Access (UNAX) for OL5081.

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 IRM 1.15.6. Information ages off (is deleted from) the database at varying intervals. All records housed in the "Customer Callback Tech Demo" 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 National Archives 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 General Records Schedule (GRS) 3.1, item 011 and as coordinated with the IRS Records and Information Management (RIM) 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)?

Yes

What date was it completed?

12/3/2018

Describe the system's audit trail.

Customer Callback does not have audit capabilities because the process is automated and does not have any end users.

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)?

SharePoint site

Were all the Privacy Requirements successfully tested?

No

Please explain which Privacy Requirements were not tested and why?

The System Test Plan does not include any privacy requirements because the majority of the systems used are existing systems. The Customer Callback Feature is an add-on to the existing systems and only collects IRS employee phone number and taxpayer phone numbers for the purpose of call backs. It does not collect or access anything else.

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?

Some customization of scripting is being made to existing systems. Each existing system will be tested for all functionality include privacy requirements.

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: 50,000 to 100,000

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