

Date of Approval: **September 30, 2022**

PIA ID Number: **6969**

SYSTEM DESCRIPTION

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

Customer Callback Enterprise Solution, CCES

Is this a new system?

Yes

What governance board or Executive Steering Committee (ESC) does this system report to? Full name and acronym.

Technology Integration Board (TIB)

Current ELC (Enterprise Life Cycle) Milestones:

Project Initiation/Milestone 1

Domain Architecture/Milestone 2

Preliminary Design/Milestone 3

Detailed Design/Milestone 4A

System Development/Milestone 4B

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.

CCES purpose is improve customer service as called out in Executive Order 14058: Transforming Federal Customer Experience and Service Delivery to Rebuild Trust in Government, dated 12/13/2021. CCES allows the opportunity for a taxpayer to receive a callback versus waiting on hold; improves taxpayer experience and service satisfaction. CCES will migrate the existing Customer Callback solution to the Mindful (vendor) cloud-based platform. The contractor (etelligent-group) project management team turned the project over to the IRS (Live Assistance Team) on 9/26/2022.

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

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 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.

Only the Taxpayers telephone number is collected and used. No other data is collected or used. The caller cannot receive a callback unless they provide the IRS with a phone number.

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 36.003 General Personnel and Payroll 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?

No

DISSEMINATION OF PII

Does this system disseminate SBU/PII?

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?

Yes

Is the cloud service provider (CSP) Federal Risk and Authorization Management Program (FedRAMP) certified?

No

Please explain:

Mindful CSP has submitted FedRAMP CSP Information Form to FedRAMP PMO on 7/5/2022. Mindful expects FedRAMP authorization March 2023. A Risk Acceptance Form and Tool (RAFT) was submitted for the Customer Callback Enterprise Solution (CCES) to cover the period until the solution has been FedRAMP certified. The RAFT covers the use of PII (phone number) for Mindful Cloud to use in determining customer callback. The RAFT documents states that no other PII will be captured or transferred.

Please identify the ownership of the CSP data.

Third Party

Does the CSP allow auditing?

Yes

Who audits the CSP Data?

IRS

What is the background check level required for CSP?

Moderate

Is there a breach/incident plan on file?

Yes

Privacy laws (including access and ownership) can differ in other countries. This cloud will be Continental US (CONUS) only for:

Storage
Transmission
Maintenance

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 into 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 call back option

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 Business Entitlement Access Request System (BEARS) and rules described in the Unauthorized Access (UNAX) for BEARS.

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)?

In-process

When is the anticipated date of the SA&A or ACS completion?

11/15/2022

Describe the system's audit trail.

Customer Callback auditing will be completed through the Cybersecurity Enterprise System Audit Trail (ESAT).

PRIVACY TESTING

Does the system require a System Test Plan?

Yes

Is the test plan completed?

No

When is the test plan scheduled for completion?

10/15/2022

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?

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 Taxpayer's phone numbers for the purpose of call backs. It does not collect or access anything else. Some customization of scripting is being made to existing systems. Each existing system will be tested for all functionalities 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: More than 100,000

Contractors: More than 10,000

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