

Contact Analytics (CA) - Privacy Impact Assessment

PIA Approval Date – Nov. 19, 2007

Requested Operational Date – Sept. 30, 2008

System Overview

Contact Analytics (CA) is a program which provides Commercial-off-the-Shelf (COTS) tools for evaluating recorded audio from contact center recordings for the purpose of identifying contact center improvement opportunities. Large segments of recorded messages can be selected as a group, reviewed and compared using user-specified search criteria. The analytic tools provide the capability to drill down to individual recordings to hear selected conversations. Based on criteria provided, the Contact Analytic application will interface with the master recording index maintained by the Contact Recording system which stores information on the location of recorded conversations by agent, call type, handle time, and other metadata.

Systems of Records Notice

Treasury/IRS 00.0008-Recorded Quality Review Records

Data in the System

1. Describe the information (data elements and fields) available in the system in the following categories:

Taxpayer:

Anything said in a communication between a taxpayer/representative and an IRS employee concerning that taxpayer's tax account and any information that an employee accesses on a computer system. Information could include Social Security Number (SSN) or Employer Identification Number (EIN), date of birth (DOB) or name, address and telephone number. Examples (1) a taxpayer contact to ask how he/she can pay the outstanding tax liability for last year, as the result of receiving a Collection notice; (2) a taxpayer contact requesting clarification of a tax law provision as a result of receiving a CP2000 notice or an EIC audit notice.

Employee:

- Name
- Standard Employee Identifier (SEID)

Audit Trail Information (including employee log-in info)

Log-on/password information of analyst/business, systems administrator, quality reviewer

2. Describe/identify which data elements are obtained from files, databases, individuals, or any other sources.

IRS:

IDRS/CADE (effective FY 2003)

- Correspondence Imaging (CIS)
- Automated Collection System (ACS)
- Automated Underreporter (AUR)
- Report Generation System (RGS)
- Desktop Integration (DI)
- Aspect Telephone System
- Employee Personnel Files|
- Application listing
- Remote access password (quality reviewers)
- Embedded Quality Review System (EQRS)

Taxpayer:

For account-related calls, taxpayer may be required to provide SSN/EIN, name, address, telephone number and DOB. Employee is required to provide name or approved pseudonym and SEID number.

3. Is each data item required for the business purpose of the system? Explain.

To answer account-related calls, employees must access IDRS/CADE, using their unique log-on and password. Under Restructuring & Reform Act 1998, employees having public contact are required to provide their name or approved pseudonym and unique identification number. To guard against disclosure in account-related calls, taxpayers are required to provide their SSN/EIN, name, address, telephone number and DOB.

Analysts and quality reviewers must use a unique log-on and password for accessing secure systems (e.g., Aspect, IDRS) in order to observe work processes. With contact analytics, access parameters will be built to ensure only managers or quality reviewers (at various levels of the organization) will be able to access recorded information and data captured on screens.

4. How will each data item be verified for accuracy, timeliness, and completeness?

These contacts routinely concern a current tax year. The taxpayer, in the vast majority of cases, has initiated the contact for the dual purpose of securing information from the IRS and providing the IRS with additional information regarding his/her tax account or situation. Examples – (1) entity updates; (2) ACS histories; (3) closure of an open AUR case (input of TC 290 for \$0.00).

5. Is there another source for the data? Explain how that source is or is not used.

Analysts and quality reviewers may monitor contacts having access to the aforementioned data items. They would not have the ability to see what on-line screens the employee is accessing during the contact. Contact Analytics creates a much more efficient and effective system by allowing analysts or quality reviewers to review contacts for accuracy, timeliness and professionalism.

6. Generally, how will data be retrieved by the user?

The analyst or quality reviewer will enter log-on/password information and will then be given access only to information contained in his/her profile in order to appropriately review recorded calls. Call information will remain available for approximately 45 days before being deleted from the system.

7. Is the data retrievable by a personal identifier such as name, SSN, or other unique identifier?

Both contact recordings with the associated screen captures, evaluative data specific to the employee, and quality review data will be retrievable via employee SEID.

Non-evaluative data is not associated with a specific employee and may be retrieved by a unique identifier assigned to each data collection instrument (DCI). Contact Analytics data could be retrieved by TIN in extremely limited circumstances.

Access to the Data

8. Who will have access to the data in the system (Users, Managers, System Administrators, Developers, Others)?

Managers, quality reviewers and system administrators.

9. How is access to the data by a user determined and by whom?

Roles and permissions will be developed and the OL5081 process utilized to determine access. The next-higher level of management determines profiles for each analyst and quality reviewer. Upper management and NTEU representatives will have the right to listen to recorded contacts should grievances/disagreement occur regarding content.

10. Do other IRS systems provide, receive, or share data in the system? If YES, list the system(s) and describe which data is shared.

Contact Recording (CR)

- IDRS/CADE - Taxpayer account information
- Automated Collection System (ACS) - Taxpayer account information
- Desktop Integration (DI) - Taxpayer account information with access to Centralized Inventory & Distribution System (CIDS), Automated Information system (AIS), Reasonable Cause for Abatement (RCA) and on-line form preparation, as well as simultaneous presentation of IDRS, Corporate Files On-Line (CFOL), ACS, AUR, Inventory Delivery System (IDS), Non-Master File (NMF) and universal ICP history.
- SERP - Research information
- EQRS - Results of reviews of employees' work that is measured and reported at all levels.
- Aspect - All recorded calls will be routed through this system and each employee in a particular location is assigned a unique number.
- Enterprise-wide Learning Management System - Contains training information of employees.
- Quality Review Database (QRDb) - Contains results of remotely monitored quality reviews performed by Centralized Quality Review System (CQRS).

11. Have the IRS systems described in Item 10 received an approved Security Certification and Privacy Impact Assessment?

Yes.

12. Will other agencies provide, receive, or share data in any form with this system?

If critical to their oversight, TIGTA and GAO may obtain access to reports generated by this system via the Center of Excellence process established for this purpose.

Administrative Controls of Data

13. What are the procedures for eliminating the data at the end of the retention period?

Recorded contacts will be erased from the system.

- Non-Evaluative Recordings – Retention will not exceed 45 days. (IRM)
- Non-Evaluative Quality Review Data – Retention will not exceed three years. (IRM)
- Evaluative Recordings – Retention will not exceed 45 days unless the evaluative feedback is being protected. By exception, the recording will be flagged for indefinite retention (e.g., grievances, arbitration). (IRM)
- Evaluative Quality Review Data – Retention will not exceed 15 months. (IRM)

14. Will this system use technology in a new way?

Yes. In the past, live calls were monitored for quality review. Contact Recording was introduced and provided the ability to record calls (audio) and screen views (video) pulled up by the employee while assisting a customer. All calls were recorded and only a small percentage of the screen views were captured. Contact Analytics (CA) provides additional capabilities by enabling analyst and quality reviewers to select a larger number of calls to analyze to determine the reasons taxpayers are calling and to determine if there are any root causes. Analysts would then be able to determine possible improvements for customer service. A percentage of all recorded calls from Contact Recording will be selected by changeable criteria to be pre-processed into a format for analysis by the speech analytic application. Analyst are then able to query the CA database by call categorization and root cause analysis through the analysis of patterns, trends, and cause and effect relationships. Analysts will provide improvement opportunities to business executives for consideration in future changes or new projects.

15. Will this system be used to identify or locate individuals or groups?

No

16. Will this system provide the capability to monitor individuals or groups?

Yes. System will allow analysts or quality reviewers to identify contacts that are outside the norm (e.g., last only a few seconds, are very long, pertain to a particular topic, long hold/wrap time). This process will allow management to identify trends affecting accuracy, timeliness and professionalism. Roles and permissions will prevent unauthorized monitoring.

17. Can use of the system allow IRS to treat taxpayers, employees, or others, differently?

No. This system is not designed to identify individual taxpayers but to improve work procedures and practices.

18. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action?

Yes. Employees will have the opportunity to hear the recording during a feedback session. There will be no effect on the taxpayer.

19. If the system is Web-based, does it use persistent cookies or other tracking devices to identify Web visitors?

The system will use a Web browser as the interface for access to the recordings, and quality review/performance data. However, the recordings and quality review/performance data will not be posted to a Web site for access. Only analysts, reviewers and systems administrators with specific roles and responsibilities will have access to the information. The portal to this Web-based system will be tightly controlled and those employees not specifically authorized access to the system will have no way of getting to the system or the data contained in the system.

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