e–trak Communications and Correspondence (C&C) – Privacy Impact Assessment

PIA Approval Date – Dec. 29, 2011

System Overview:
The e–trak Communications and Correspondence (e–trak C&C) provides the IRS leadership and Business Units with the ability to timely and effectively manage their responses to issues raised by taxpayers, IRS employees, Congress, Treasury, the White House, Government Accountability Office (GAO), and Treasury Inspector General for Tax Administration (TIGTA). The e–trak C&C System consists of two modules. The first module provides the IRS leadership and Business Units with the ability to timely and effectively manage their responses to issues raised by taxpayer, IRS employees, Congress, Treasury, The White House, GAO and TIGTA. The internal Business Units are able to track and monitor internal documents that require a controlled response, and signature packages. The e–trak application is a web–based data tracking application that enables meaningful data management, tracking, retrieval, and reporting. The e–trak application offers ‘no code customization’ meaning that administrators can make configuration changes to the application without requiring code development.

System of Records Notice (SORN):
- IRS 00.001--Correspondence Files and Correspondence Control Files
- IRS 34.037--IRS Audit Trail and Security Records System
- IRS 00.007--Employee Complaints and Allegation Referral Records

Data in the System

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

A. Taxpayer – This data may be available from information taxpayers and others provide within their Correspondence. The data is entered into e–trak C&C System module by IRS employees who have permission to use e–trak C&C module.
    - Name
    - Address – Personal
    - Telephone Number
    - E–mail Address

B. Employee – This data is entered into e–trak C&C System module by authorized users of the system. The system is password protected, and is only seen by personnel with a need to know.
    - Employee Name
    - Address – Personal or work
    - Telephone – Personal or work
    - Business Unit
    - Occupation/Title
    - E–mail Address
    - Employee location
    - Standard Employee Identifier (SEID)
    - Employee pay plan
    - Employee job series
    - Fax Number

C. Audit Trail Information:
   - User Identification (ID)
   - Action
   - Description of action (successful, or unsuccessful)
   - Date and time

   The System Administrator (SA) prepares and reviews monitoring reports based on the Commissioner's Correspondence Office established time frames. The audit trail assures that those who use e–trak C&C System module only have permission to view and use the modules according to their assigned roles.

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

A. IRS: e–trak C&C System module pulls data from the Lightweight Directory Access Protocol (LDAP) Directory data, which is on a web server database and is not received directly by e–trak C&C module. LDAP operates in the same manner as the IRS Discovery Directory.
   - LDAP auto populates the following fields:
   - Employee's Name (first, middle, last)
   - Employee's Telephone Number (work/home)
   - Employee's SEID
   - Employee's Grade, series, & pay plan
   - Employee's Address (work/home)
   - Employee's Fax
   - Employee's E–mail address

B. Taxpayer – Taxpayer's information is entered into the system if provided within the correspondence. If no identifying information on the taxpayer is included within the correspondence; taxpayer information is not entered in the system.
   - Name
   - Address – Personal
   - Phone
   - E–mail

C. Employee – Employee information is entered into the system if provided within the correspondence. If the employee information is not included within the correspondence; the system auto populates the following information from LDAP:
   - Employee's Name (first, middle, last)
   - Employee's Telephone Number (work/home)
   - Employee's SEID
   - Employee's Grade, series, & pay plan
   - Employee's Address (work/home)
   - Employee's Fax
   - Employee's E–mail address

3. Is each data item required for the business purpose of the system? Explain.
Yes. Each data element is required to allow for the IRS leadership and the Business Managers to control and track the following data:

- The e–trak Commissioners C&C System module tracks and monitors correspondence addressed to the IRS Commissioner and the two Deputy Commissioners. In addition, it is used by the Business Units to control and track all internal documents requiring controlled responses and signature packages throughout their organizations.

- The IRS Leadership and Business Units manage their responses to issues raised by taxpayers, IRS employees, Congress, Treasury, the White House, GAO and TIGTA in a timely and effective manner.

4. How will each data item be verified for accuracy, timeliness, and completeness?
The e–trak C&C Module identifies and enforces which fields are required to be completed before a record can be saved. Data validation checks are automated in the system to ensure date fields are valid dates and numeric fields are numeric. The e–trak C&C Module has numerous reports to identify individual case timeliness, and is part of a management control report for monitoring.

5. Is there another source for the data? Explain how that source is or is not used.
No, there is no other source for the data.

6. Generally, how will data be retrieved by the user?
The users access the e–trak C&C System module application by authenticating at a login screen using their unique User ID and Password. Users can retrieve data via search, or running reports. The data information will be auto–populated in custom reports.

7. Is the data retrievable by a personal identifier such as name, SSN, or other unique identifier?
Yes, data is retrievable by a personal identifier. After logging in to the e–trak C&C System module, users may access records by SEID and Case Number–system generated or other system case numbers manually entered (TIGTA, Taxpayer Advocate Management Information System (TAMIS), and Treasury etc.).

<u>Access to the Data</u>

8. Who will have access to the data in the system (Users, Managers, System Administrators, Developers, Others)?
The primary users of e–trak C&C System module include IRS Business Unit contacts, case workers, managers and the Commissioner's Office. This application does not allow access by the public. Only authorized users are granted authorization to e–trak C&C module through the On–Line 5081 process. The only maintenance personnel authorized to perform maintenance on e–trak C&C System module are the Administrators. There are no contractor users of the system.

> **Role:** System Administrator
> **Permission:** View records, execute SQL queries, view audit data, add users assigning permissions, review list of accounts
>
> **Role:** Business Unit Commissioner
> **Permission:** Generate user reports, view cases, case management, search cases, assign, create, add, edit and process cases, assign managers, close cases
>
> **Role:** Administrator
> **Permission:** Administer system, database administrator access

Role: Central Adjudication Branch (CAB)
Permission: Generate user reports, case management, search cases, edit cases, add and process cases, assign cases, edit case status

Role: Commissioner's Correspondence Unit (CCU) Administrator
Permission: Generate user reports, case management, search cases, generate mgmt reports create, add, process, view all, delete, edit and assign cases, assign case worker, edit status close cases

Role: Commissioner Complex Level
Permission: Generate user reports, case management, search cases, create, add, process, view all, edit and assign cases, assign case worker, edit status

Role: Commissioner Correspondence
Permission: Generate user reports, generate management reports, case management, search cases, delete cases, create, add, process, view all, edit and assign cases, assign case worker, edit status

Role: Executive Assignment (EA) Business Unit and External Access Unit (EAU) Processing Group
Permission: Generate user reports, case management, search cases, add and process, assign cases, assign manager, edit status

Role: Employee Conduct and Compliance Office (ECCO) Central Adjudication Branch (CAB) and External Access Unit (EAU) Processing Group
Permission: Generate user reports, generate management reports, case management, search cases, edit cases, view all cases, add and process cases, assign cases, edit status, view ALERTS cases

Role: Executive Control Management System Business Unit (ECMS)
Permission: Generate user reports, case management, create cases, add and process cases, assign managers, edit cases, assign cases

9. How is access to the data by a user determined and by whom?
Access to e–trak C&C System module is determined by submitting an On–Line 5081 and receiving authorization from the user's approval manager. The e–trak C&C System application has been configured for a role–based user access policy. User access is restricted to only the specific application modules needed to complete their job function. Logical access controls have been incorporated into e–trak C&C System, module for each user; to include assigning access privileges, session controls, and re–certification of users. Application Administrators are responsible for assigning permissions ensure that the proper permissions are granted to the proper users. All policy and procedures are followed in granting user permissions, determining permissions, ensuring user rights are restricted to the minimum necessary to perform the job, background screening and separation of duties.

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.
The e–trak C&C System module pulls data from the Lightweight Directory Access Protocol (LDAP) Directory data, which is on a web server database and is not received directly by e–trak C&C module. LDAP operates in the same manner as the IRS Discovery Directory. LDAP is part of the Modernization and Information Technology Services (MITS) –17 General Support Services (GSS).

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

Enterprise Systems Domain (MITS–17 GSS)

- Security Assessment & Authorization (SA&A) – September 24, 2010
- Privacy Impact Assessment (PIA) – February 19, 2010

12. Will other agencies provide, receive, or share data in any form with this system?
No, no other agencies provide, receive, or share data in any form with this system.

Administrative Controls of Data

13. What are the procedures for eliminating the data at the end of the retention period?
The e–trak C&C System module audit records are maintained for two years to support after–the–fact investigations of security incidents. e–trak C&C System module appears to follow IRM/Records Control Schedule 1.15.8, item 1a; for records retention. The IRS Records and Information Management (RIM) Program Office is currently verifying this authority and will work with the Executive Secretariat to update, if necessary. The web server and application/database server auditing is managed at the MITS–30 General Support System (GSS) level.

14. Will this system use technology in a new way?
No, this system will not use technology in a new way.

15. Will this system be used to identify or locate individuals or groups? If so, describe the business purpose for this capability.
No, e–trak C&C System module does have the capability to identify individuals or groups by querying for data elements to include name and address; however, it does not fit the business purpose of the system.

16. Will this system provide the capability to monitor individuals or groups? If yes, describe the business purpose for this capability and the controls established to prevent unauthorized monitoring.
No, this system will not provide the capability to monitor individuals or groups.

17. Can use of the system allow IRS to treat taxpayers, employees, or others, differently? Explain.
No, use of this system will not allow IRS to treat taxpayers, employees, or others differently.

18. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action?
No, the e–trak C&C module does not have the capability to make any negative determinations.

19. If the system is web–based, does it use persistent cookies or other tracking devices to identify web visitors?
Upon logging into e–trak, a session cookie is created. The session cookie is eliminated once the web user ends his/her session and exits out of the web browser. Persistent cookies are not administered by this system.

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