SPEC Total Relationship Management (SPECTRM) Release 1 WebSTARS – M/S 3/4a Privacy Impact Assessment

PIA Approval Date - Jan. 16, 2008

Requested Operational Date - Jan. 18, 2008

System Overview

SPECTRM WebStar is an application used to maintain records for administration of the IRS tax assistance volunteer program. The application provides the ability to process information from a central source for decision making in regard to the volunteer tax assistor program. It's used for contact information, notice of site openings, correspondence and certificates for volunteer service. It's a Web based system converted from the existing STAR Microsoft Access application. Only SPEC employees with a need to know have access thru the online 5081 program.

System of Records Numbers

- Treasury/IRS 10.004 Stakeholder Relationship Management and Subject Files
- Treasury/IRS 34.037, the IRS Audit Trail and Security Records System
- Treasury/IRS 36.003, General Personnel and Payroll Records
- Treasury/IRS 22.062, Electronic Filing Records
- Treasury/IRS 10.007 SPEC Taxpayer Assistance Reporting System (STARS)

Data in the System

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

A. Taxpayer

None.

B. Employee

Users are required to identify themselves via password authentication which consists of the user's LAN Logon and SEID.

C. Audit Trail

- user logons
- logoffs
- change of passwords
- logs of read and write activities

D. Other

VITA/TCE site information:

- Site identification
- location
- hours of operation
- days of operation volunteer profile
- assistance statistics
- Stakeholder/partner profile information

Volunteer profile data provided by volunteers consist of fields for:

- Names
- Address
- Phone number
- Email address
- Website address
- dates available to work.

SPEC uses this information solely for relationship management/site resource allocation to include:

- Contact
- Notice of site openings
- Letters of thanks
- Certificates for volunteer service

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

A. IRS
IRS Volunteer Income Tax Assistance (VITA) and Tax Counseling for the Elderly (VITA/TCE) site information (locations, days and hours of operation, languages offered for individuals with Limited English Proficiency, and if State/Federal Electronic Return Filing is offered). Statistics (site name, date, number of volunteers working at the site on this date, the outreach program (Media/Non-Media), number of volunteers, the number of people reached during the program session, and the number of sessions held).

B. Taxpayer
None

C. Employee
Users are required to provide password authentication which consists: of the user's LAN Logon and SEID with systemic warning of expiration in three-month intervals.

D. Other Federal Agencies
The military sponsors VITA sites that provide statistics to territory offices. VITA is a Program that offers free tax help to low- to moderate-income people who cannot prepare their own tax returns

E. State and Local Agencies
Those that will sponsor VITA Sites which includes City/County Governments, County Human Services, Faith Based Organizations, Chambers of Commerce, Housing Authorities, Local Federal Credit Unions, Community Services/Centers/Action Councils, Local Red Cross and United Ways, Rescue Missions, Salvation Army, Professional Societies (CPA/Legal), Local Utilities, Health & Human Services, Economic Growth Agencies, Local Veterans Administrations, etc.

F. Other third party sources
Volunteer information is collected by Site Coordinators and delivered to SPEC. Site coordinators can be IRS & Non IRS volunteers.

Form 13615 (Rev 7-2007), Cat. 38847H “Volunteer Agreement Standard of Conduct – VITA/TCE Programs is used to collect information from volunteers and is retained by the Partners. Volunteers who sign the form have certified they will obey the Standards of Conduct. Per the Privacy Act Notice on each form, signing is voluntary, However, if volunteers do not sign, the IRS will not use their assistance in the program.

3. Is each data item required for the business purpose of the system? Explain.
Yes. SPEC uses this information solely for relationship management/site resource allocation to include contact, notice of site openings, and for correspondence to include letters of thanks and certificates for volunteer service. SPEC must ensure it has the right combination of volunteers for site support and population assistance**.**

4. How will each data item be verified for accuracy, timeliness, and completeness?
Data will be collected on paper forms that will be reviewed and verified with the source at the territory level prior to input. Also, record level edits are performed by the system at input, providing a warning of incomplete records.

5. Is there another source for the data?
No

6. Generally, how will data be retrieved by the user?
Input data is generally retrieved by query of site number. Only SPEC employees will have access to the system.

7. Is the data retrievable by a personal identifier such as name, SSN, or other unique identifier?
Yes. Data can be retrieved by the name of the volunteer, individual partner or individual stakeholder, non-unique names will be distinguished by addressees. Records pertaining to electronic filing capabilities may also be retrieved by the Electronic Filer Identifying Number (EFIN). Generally, one number EFIN is required at each location.

<u>Access to the Data</u>

8. Who will have access to the data in the system (Users, Managers, System Administrators, Developers, Others)?
Only SPEC employees will have access to the system. SPEC managers and employees working with the VITA project. Systems administrators will have access.

> **Role: Management Assistant**
> **Permissions:** Reports to the territory manager and may input data to system. If assigned by the territory manager, they may be responsible for recording relationships with Partners, Contacts and Sites. If assigned by the territory manager, they may be responsible for the distribution of resources (Software Ordering and Equipment) and for the recording of results (Production).
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> **Role: Tax Specialist/Senior Tax Specialist**
> **Permissions:** Inputs the majority of data to the system. They report to the territory manager. They are responsible for building, maintaining and recording relationships with

Partners, Contacts and Sites. Also, they are responsible for the distribution of resources (Software Ordering and Equipment) and for the recording of results (Production).

Role: Territory Manager
Permissions: Responsible for determining the duties of the Management Assistant and Tax Specialists. They are responsible for finalizing production data, unless they have delegated the duty to another employee in the territory. Territory managers report to the Area Director. They review data entered by Tax Specialists and Management Assistants. They may do data entry and some approval work in the system. They will be responsible for changing user permissions within their territory. They are the only role that has permission to delete partners, contacts, and sites. They are ultimately responsible for the quality of data input into SPECTRM Release 1-WebSTARS.

Role: Area Analyst
Permissions: Reports to the Area Director. They get data from reports in a read-only view of the system. The Area Analysts review and analyze data input by Territory Personnel. Exceptions have been approved to allow Area Analysts to input data at the territory level.

Role: Area Director
Permissions: Is an executive who is in charge of the area. They access STARS or SPECTRM Release 1-WebSTARS information through reports provided by Area Analysts.

Role: HQ Analysts
Permissions: Review and analyze data input by Territory Personnel and reviewed by the Area Analyst. They usually require read-only access to data. Most data they need come from reports.

Role: SPEC HQ Executives
Permissions: In charge of the SPEC Organization. These individuals access STARS or SPECTRM Release 1-WebSTARS information through reports provided by HQ Analysts.

Role: Administrator/STARS Help Desk
Permissions: Research information in the system and may input or update data to any territory or record within the system. They are responsible for writing reports against data in the system. The reports are used by all other user groups and administrators. They will be responsible for changing drop-down menu items in the administrator module. They will be responsible for adding new users to the system received through the 5081 process. They will be responsible for changing user permissions within the system.

9. How is access to the data by a user determined and by whom?
Access determination is developed at SPEC Headquarters based on the need to know. Systems and application administrators will provide access permissions via directions from SPEC Headquarters.

All users requesting access to an IRS system must do so through the OL5081 process. Users are required to complete and OL5081, Information System User Registration/Change Request form, which lists mandatory rules for users of IRS information and information systems. When a user has been approved for access to the application by his/her manager, the OL5081 system sends an email to the user, providing and approval notification. Once approval has been granted, access is

restricted to certain individuals based upon their permissions and via the ID and authentication process.
Contractors are not granted access to this application.

10. Do other IRS systems provide, receive, or share data in the system?
No. Data is input from paper by SPEC employees; there is no input from any other system.

11. Have the IRS systems described in Item 10 received an approved Security Certification and Privacy Impact Assessment?
N/A, there is no input from any other system.

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

Administrative Controls of Data

13. What are the procedures for eliminating the data at the end of the retention period?
Data is eliminated as per IRM 1.15.57-1(1) General Record Schedule for Electronic Records and IRM 1.15.3.2.1 disposition of Records.

14. Will this system use technology in a new way?
No.

15. Will this system be used to identify or locate individuals or groups? If so, describe the business purpose for this capability.
The application provides the ability to locate volunteers/partners for resource allocation and geographical coverage. SPEC needs to know if it has enough volunteers/partners to cover site operations and geographical areas. No monitoring is done.

16. Will this system provide the capability to monitor individuals or groups?
No.

17. Can use of the system allow IRS to treat taxpayers, employees, or others, differently?
No use of this system will cause volunteers, taxpayers or employees to be treated differently. No Taxpayer data or employee data will be housed by the application except for the limited employee and volunteer information listed in Question #1

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

19. If the system is Web-based, does it use persistent cookies or other tracking devices to identify Web visitors?
No, the system does not use persistent cookies.

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