Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

Automated Employee and Labor Relations Tracking System

Acronym:

ALERTS

Business Unit

Human Capital Office

Preparer

For Official Use Only

Subject Matter Expert

For Official Use Only

Program Manager

For Official Use Only

Designated Executive Representative

For Official Use Only

Executive Sponsor

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

Automated Labor and Employee Relations Tracking System (ALERTS) tracks labor/employee relations case data. ALERTS was originally developed by a Congressional mandate in 1989, because of the 1988 Barnard hearings to ensure consistency in tracking labor and employee relations disciplinary actions. It uses a single, standardized record format that is the repository of all case data, other than originating documents. ALERTS meets the Congressional mandate to keep a central repository of such cases. Case types include administrative (performance and other administrative), employee tax compliance, grievances, inspections, negotiations, special projects, third party or arbitration, unfair labor practices, benefits, and debt (garnishments). The application provides all office levels with on demand reports of individual case status, caseloads, and year-to-year trend analysis. ALERTS also provides the capability to establish and track Labor

Relations activities, Unfair Labor Practice (ULP) charges, and events for negotiation processes, grievances and arbitration proceedings. In 2015 functionality of the legacy Employee Tax Compliance (ETC) Oracle Forms application was built into ALERTS. Because of this, ALERTS now contains spousal Social Security Numbers (SSN's) and Associated Taxpayer Identification Numbers (ATIN's) (when relevant) for ETC Inquiry cases. Additionally, Equity, Diversity, and Inclusion (EDI) also tracks their Reasonable Accommodations cases as a separate case type within ALERTS. ALERTS will receive vaccination status information from Human Resources (HR)Connect for creation of ALERTS cases.

Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?
   Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).
   Employee data is received once a week from the Totally Automated Personnel System (TAPS), which is then matched to the subject employee when a case is created. Certain cases are received from the Treasury Inspector General for Tax Administration (TIGTA) and the Automate Background Investigation System (ABIS) through the Electronic File Transfer Utility (EFTU), and an outgoing EFTU sends case data back to ABIS. TIGTA receives a full database backup once per week for auditing purposes. An audit log is captured and transmitted to Splunk daily. Employee tax information is also received via EFTU for research and referral to Labor Relations (LR) if necessary. ALERTS also has a connection to tax data through an Application Program Interface (API) that allows Employee Tax Compliance specialists to view tax information on the employee in real time. This detailed tax information is not stored on the ALERTS servers.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.
   Address
   Agency Sensitive Information
   Employment Information
   Federal Tax Information (FTI)
   Individual Taxpayer Identification Number (ITIN)
   Internet Protocol Address (IP Address)
   Medical History
   Name
   Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).
PII for personnel administration - 5 USC
SSN for personnel administration IRS employees - 5 USC and Executive Order 9397

Product Information (Questions)

1.1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?
No

1.3 What type of project is this (system, project, application, database, pilot/proof of concept, power platform/visualization tool)?
System

1.35 Is there a data dictionary for this system?
Yes

1.36 Explain in detail how PII and SBU data flow into, through and out of this system.
PII and SBU data are received from the Totally Automated Personnel System (TAPS) through the Electronic File Transfer Utility (EFTU). Tax information is received from a Tax Check Common Service (TCCS) query delivered via EFTU. Information flows out of the program through EFTU to the Automated Background Investigation System (ABIS), and a full database backup is provided weekly to the Treasury Inspector General for Tax Administration (TIGTA) and includes all PII identified in the PII section of this questionnaire. Audit log data is transmitted to Splunk daily. The audit log contains users' Standard Employee Identifier (SEID) and Internet Protocol (IP) address.

1.4 Is this a new system?
No

1.5 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this system?
Yes

1.6 What is the PCLIA number?
6688

1.8 If the system is on the As-Built-Architecture, what is the ABA ID of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID for each application covered separated by a comma.
210080

1.9 What OneSDLC State is the system in (Allocation, Readiness, Execution)?
Execution

2.1 If this system discloses any PII to any third party outside the IRS, does the system have a process in place to account for such disclosures in compliance with IRC 6103(p)(3)(A) or Subsection c of the Privacy Act? Contact Disclosure to determine if an accounting is required. Enter "Yes" or "No". If Exempt, type "Exempt".
Yes

2.2 Please provide the full name of and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.
Applications Development (AD) Internal Management Governance Board (AD Inter Mgmt D GB)

3.1 Does your project/system involve any use of artificial intelligence (AI), including virtual assistant, chat bot, and robotic process automation, as defined in Executive Order 13960?
No

3.3 Does this system use cloud computing?
No

3.6 Does this system interact with the public through a web interface?
No

3.7 Describe the business process allowing an individual to access or correct their information.
Employees may avail themselves of contractual or statutory appeals concerning any conduct or performance-based actions, including National Treasury Employees (NTEU) grievance/arbitration process, Agency Grievance process, Merit Systems Protection Board appeals, or Equal Employment Opportunity complaint processes.

4.1 Who owns and operates the system (IRS Owned and Operated, IRS Owned and Contractor Operated, Contractor Owned and Operated)?
IRS Owned and Operated

4.2 If a contractor owns or operates the system, does the contractor use subcontractors?
No

4.5 Identify the roles and their access level to the PII data. For contractors, indicate whether their background investigation is complete or not.
Roles are assigned based on need and start with CW (Case Worker), CW1 - Clerk, CW2 - Specialist and Assistant, CW3 - Analyst/Specialist - (Grade 15 &

Executive Cases), CWM - CW Manager, CW4 - Administrator, CWO - CW Office Reports, PEM - Pre-employment Users. All "CW" user types can read/write to the database through the user interface. They have access to PII data for their assigned group(s), but information is masked otherwise, and social security numbers (SSNs) are masked except for the last 4 digits. PEM is a read only report generated from a query on SSNs.

4.51 How many records in the system are attributable to IRS Employees? Enter "Under 50,000", "50,000 to 100,000", "More than 100,000" or "Not Applicable".
More than 100,000

4.52 How many records in the system are attributable to contractors? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not Applicable".
Not Applicable

4.53 How many records in the system are attributable to members of the public? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not applicable".
Not Applicable

4.6 How is access to SBU/PII determined and by whom?
Each user's access to the system is established through use of the IRS Business Entitlement Access Request System (BEARS) application. Further restrictions are made within the application by use of a specific user profile. Defined user types restrict access based on work assignments as assigned by management.

5.1 Please describe any privacy risks, civil liberties and/or security risks identified for the system that need to be resolved and what is the mitigation plan?
No known risks at this time.

5.11 Is there a Risk Assessment Form and Tool (RAFT) associated with this system on file with your organization or the IRS Risk Office.
No

5.2 Does this system use or plan to use SBU data in a non-production environment?
Yes

Interfaces

Interface Type
IRS Systems, file, or database
Agency Name
Totally Automated Personnel System (TAPS)
Incoming/Outgoing
Incoming (Receiving)

Transfer Method
  Electronic File Transfer Utility (EFTU)

Interface Type
  IRS Systems, file, or database
Agency Name
  Tax Compliance Check Service
Incoming/Outgoing
  Incoming (Receiving)
Transfer Method
  Electronic File Transfer Utility (EFTU)

Interface Type
  IRS Systems, file, or database
Agency Name
  HR Connect
Incoming/Outgoing
  Incoming (Receiving)
Transfer Method
  Electronic File Transfer Utility (EFTU)

Interface Type
  IRS Systems, file, or database
Agency Name
  Automated Background Investigation System (ABIS)
Incoming/Outgoing
  Both
Transfer Method
  Electronic File Transfer Utility (EFTU)

Interface Type
  Other Organization
Agency Name
  Treasury Inspector General for Tax Administration (TIGTA)
Incoming/Outgoing
  Outgoing (Sending)
Transfer Method
  Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name
  IRS 42.001 - Examination Administrative Files

Describe the IRS use and relevance of this SORN.

To document the examinations of tax returns or other determinations as to a taxpayer's tax liability; to document determinations whether to examine a taxpayer; and to analyze trends in taxpayer compliance.

SORN Number & Name

Treasury .020 - Health Screening and Contact Tracing Records

Describe the IRS use and relevance of this SORN.

The Department of the Treasury (including Treasury bureaus, offices, and other subcomponents) collects these records when it knows or suspects that a person was infected with a communicable disease and came in close physical proximity to or had physical contact with other persons while working in or visiting a Treasury facility (including Treasury sponsored events in non-Treasury facilities), and Treasury (or another federal or state authority) determines that a significant risk of substantial harm exists to the health or safety of Treasury employees or visitors. These records are used to: (1) Comply with Occupational Safety and Health Administration Act recordkeeping requirements; (2) respond to a significant risk of substantial harm to Treasury personnel or visitors; (3) document reports of illness or communicable disease that are the subject of a declaration of public health emergency by the Health and Human Service (HHS) Secretary or a designated state official that may pose a significant risk of substantial harm to the health of Treasury personnel (meaning employees, grantees, and interns), and/or Treasury visitors (meaning non-Treasury federal employees, detailees from other federal agencies, contractors, and members of the public); (4) perform contact tracing investigations of and notifications to Treasury personnel and Treasury visitors known or suspected of exposure to communicable diseases who came in close physical proximity to or had physical contact with other persons while working in or visiting a Treasury facility; (5) inform federal, state or local public health authorities so that these authorities may act to protect public health as allowed or required by law; and (6) take such actions (e.g., quarantine or isolation) as necessary to prevent the introduction, transmission, and spread of communicable disease by persons who have contracted or were exposed to such a disease and came in close physical proximity to or had physical cont.

SORN Number & Name

IRS 34.022 - Automated Background Investigations System (ABIS)

Describe the IRS use and relevance of this SORN.
> To track and administer background investigation records and to analyze trends in suitability matters.

SORN Number & Name
> IRS 36.001 - Appeals, Grievances and Complaints Records

Describe the IRS use and relevance of this SORN.
> To track, and process, employment-related appeals, grievances and complaints.

SORN Number & Name
> IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.
> To administer personnel and payroll programs.

SORN Number & Name
> IRS 34.021 - Personnel Security Investigations

Describe the IRS use and relevance of this SORN.
> To carry out personnel security investigations as to a person's character, reputation and loyalty to the United States, to determine that person's suitability for employment, retention in employment, or the issuance of security clearances.

SORN Number & Name
> DO .311 - TIGTA Office of Investigations Files

Describe the IRS use and relevance of this SORN.
> To receive investigations related to complaints received by TIGTA for administrative adjudication.

SORN Number & Name
> IRS 22.061 - Information Return Master File

Describe the IRS use and relevance of this SORN.
> To administer tax accounts related to the filing of information returns.

SORN Number & Name
> IRS 35.001 - Reasonable Accommodation Request Records

Describe the IRS use and relevance of this SORN.
> To track and administer reasonable accommodation requests.

SORN Number & Name
> IRS 24.030 - Customer Account Data Engine Individual Master
> File

Describe the IRS use and relevance of this SORN.
> To maintain records of tax returns, return transactions, and
> authorized taxpayer representatives.

SORN Number & Name
> IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.
> To identify and track any unauthorized accesses to sensitive but
> unclassified information and potential breaches or unauthorized
> disclosures of such information or inappropriate use of government
> computers to access Internet sites for any purpose forbidden by
> IRS policy (e.g., gambling, playing computer games, or engaging
> in illegal activity), or to detect electronic communications sent
> using IRS systems in violation of IRS security policy.

Records Retention

What is the Record Schedule System?
> General Record Schedule (GRS)

What is the retention series title?
> Employee relations programs' administrative records

What is the GRS/RCS Item Number?
> 2.3

What type of Records is this for?
> Both (Paper and Electronic)

Please provide a brief description of the chosen GRS or RCS item.
> This GRS applies to individual case files/records.

What is the disposition schedule?
> Destroy when 3 years old, but longer retention is authorized if
> required for business use.

What is the Record Schedule System?
> General Record Schedule (GRS)

What is the retention series title?
> General ethics program records

What is the GRS/RCS Item Number?
> 2.8

What type of Records is this for?
> Both (Paper and Electronic)

Please provide a brief description of the chosen GRS or RCS item.
> Individual case files both paper and electronic.

What is the disposition schedule?

> Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, deciding regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation, whichever is later, but longer retention is authorized if required for business use.

What is the Record Schedule System?

> Record Control Schedule (RCS)

What is the retention series title?

> Document 12990

What is the GRS/RCS Item Number?

> RCS 20 118(B)

What type of Records is this for?

> Electronic

Please provide a brief description of the chosen GRS or RCS item.

> Retention of electronic records within ALERTS databases.

What is the disposition schedule?

> Delete by degaussing or purging system of case 5 years after cutoff.

Data Locations

What type of site is this?

> Environment

What is the name of the Environment?

> ALERTS TEST

What is the sensitivity of the Environment?

> Federal Tax Information (FTI)

What is the URL of the item, if applicable?

> https://alerts.test.dstest.irsnet.gov/

Please provide a brief description of the Environment.

> ALERTS test environment. Used for user acceptance testing and other testing activities so as not to affect production data.

What are the incoming connections to this Environment?

> Automated Background Investigation System (ABIS), TIGTA, Totally Automated Personnel System (TAPS)

What are the outgoing connections from this Environment?

> Enterprise Security Audit Trails.

What type of site is this?

Environment

What is the name of the Environment?

ALERTS PROD

What is the sensitivity of the Environment?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

https://alerts.web.irs.gov/

Please provide a brief description of the Environment.

ALERTS production environment.

What are the incoming connections to this Environment?

Automated Background Investigation System (ABIS), TIGTA,
Employee Tax Compliance via TCCS, HR Connect, Totally
Automated Personnel System (TAPS)

What are the outgoing connections from this Environment?

ABIS, TIGTA, Enterprise Security Audit Trails (ESAT)

What type of site is this?

Environment

What is the name of the Environment?

ALERTS DEV

What is the sensitivity of the Environment?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

https://alerts.dev.dstest.irsnet.gov/

Please provide a brief description of the Environment.

ALERTS development environment. Used to develop new code
and is the first environment to implement security changes.

What type of site is this?

Environment

What is the name of the Environment?

ALERTS DR

What is the sensitivity of the Environment?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

https://alertsdr.ds.irsnet.gov/

Please provide a brief description of the Environment.

ALERTS disaster recovery. This environment is used as a fail safe
for major disruptions to production. Users will be repointed to DR
until production is restored.

What are the incoming connections to this Environment?

DR is updated from a backup from Production.