Date of Approval: 04/10/2025
Questionnaire Number: 1966

Basic Information/Executive Summary

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

View Transcript (TRA)

Acronym:

TRA

Business Unit

Information Technology

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.

Integrated Customer Communications Environment (ICCE) provides customer service applications through toll-free telephone service and through Web Pages via the Internet. The toll-free telephone and Web Page services provides automated self-service applications that allow taxpayers to help themselves. View Transcript (TRA) provides users with the ability to request (telephonically) Tax Account and/or Tax Return Transcripts for user selected years. The users interact with TRA by responding to audio menus via Dual Tone Multi-Frequency (DTMF) sounds. They are limited to the past 4 Tax Years. The audio menus are provided in English and Spanish. TRA confirms user eligibility to request Transcripts by asking user for their Social Security number (SSN) and then the House Number of the Street Address, which is compared to the stored data on file with the IRS. The availability of Transcript data (as input by user in response to menu prompts for Year and Type) is confirmed by accessing users Tax Account data. Successful requests for Transcripts are submitted to the eServices Transcript Delivery System (TDS) project for document generation and delivery via United States Postal Service. There is no SBU/PII contained (or stored) within the current tool.

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).

TRA requires the use of SSN's because no other identifier can be used to uniquely identify a taxpayer. SSNs are permissible from Internal Revenue Code (IRC) 6109, which requires individual taxpayers to include their SSNs on their income tax returns. The IRS uses Taxpayer SSN as part of the key used to access Tax Account records of the Taxpayer. To provide Taxpayers with the product provided by TRA the Tax records must be accessed. SSN are only used to validate and authenticate the user. For eligible users, the application accesses the records and allows the user to request from available tax or account records. The SSN is only used during a single session and if the user logoff of the system or there a session timeout, the SSN is not stored or cached.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Address
Federal Tax Information (FTI)
Name
Social Security Number (including masked or last four digits)

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012
SSN for tax returns and return information - IRC section 6109

Product Information (Questions)

1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?

No

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

Application-API

3 What Tier designation has been applied to your system?

2

4 Is this a new system?

No

4.1 Is there a previous Privacy and Civil Liberties Impact Assessment (PCLIA) for this project?

Yes

4.11 What is the previous PCLIA number?

7374

4.12 What is the previous PCLIA title (system name)?

Integrated Customer Communications Environment, IC, TRA

4.2 You have indicated this is not a new system; explain what has or will change and why. (Expiring PCLIA, changes to the PII or use of the PII, etc.)

Expiring PCLIA

5 Is this system considered a child system/application to another (parent) system?

No

6 Indicate what OneSDLC State is the system in (Allocation, Readiness, Execution) or indicate if you go through Information Technology's (IT) Technical Insertion Process and what stage you have progressed to.

Execution

7 Is this a change resulting from the OneSDLC process?

No

8 Please provide the full name and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.

Small Business/Self Employed, SB/SE Governance Board

9 If the system is on the As-Built-Architecture (ABA), what is the ABA ID number of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID number(s) for each application covered separated by a comma. If the system is not in the ABA, then contact the ABA (https://ea.web.irs.gov/aba/index.html) for assistance.

211141

10 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?

Yes

11 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 and 14110?

No

12 Does this system use cloud computing?

No

13 Does this system/application interact with the public?

Yes

13.1 If the system requires the user to authenticate, was a Digital Identity Risk Assessment (DIRA) conducted?

Yes

13.11 Please upload the approved DIRA report using the Attachments button. Select "Yes" to indicate that you have or will upload the signed DIRA form.

Yes

13.2 If individuals do not have the opportunity to give consent to collect their information for a particular use, why not?

The IRS notifies all individuals who file tax returns of such collection via the Privacy Act Notice in tax return instructions. Notice, consent, and due process are provided in the tax forms instructions filed by the taxpayer, and pursuant to 5 USC.

13.3 If the individual was not notified of the following items prior to the collection of information, why not? 1) Authority to collect the information 2) If the collection is mandatory or voluntary 3) The purpose for which their information will be used 4) Who the information will be shared with 5) The effects, if any, if they don't provide the requested information.

Taxpayer initializes access to the TRA application. Failure to provide required data will result in an unsuccessful interaction with Taxpayer.

14 Describe the business process allowing an individual to access or correct their information. (Due Process)

Notice, consent, and due process are provided in the tax forms instructions filed by the taxpayer, and pursuant to 5 USC.

15 Is this system owned and/or operated by a contractor?

No

16 Identify what role(s) the IRS and/or the contractor(s) performs; indicate what access level (to this system's PII data) each role is entitled to. (Include details about completion status and level of access of the contractor's background investigation was approved for.)

IRS Owned and Operated
The following people have access to the system with the specified rights:
IRS Employees
Users: Read Only
IRS Contractor Employees
Contractor System Administrators: Read Write
Contractor Developers: Read Only

17 The Privacy Act of 1974 (5 USC § 552a(e)(3)) requires each agency that maintains a system of records, to inform each individual requested to supply information about himself or herself. Please provide the Privacy Act Statement presented by your system or indicate a Privacy Act Statement is not used and individuals are not given the opportunity to consent to the collection of their PII.

Notice, consent, and due process are provided in the tax forms instructions filed by the taxpayer, and pursuant to 5 USC.

18 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".

Not applicable

19 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

20 How many records in the system are attributable to members of the public? Enter "Under 100,000", "100,000 to 1,000,000", "More than 1,000,000" or "Not applicable".

More than 1,000,000

22 How is access to SBU/PII determined and by whom?

External/Internal Users - no external users will have access to the system data. Note that no account data is returned to the user. The user puts in a request to have a transcript mailed to them and receive a status of the request. The Treasury Inspector General for Tax Administration can receive system data information by going through the proper channels. They do not have direct access to the system. Contractors, including Developers, will not have direct access to the production system or database. Contractors receive a completed Moderate risk background investigation for staff-like access approval. Only IRS System Administrators will have access to the production environment. However, Developers are available to help System Administrators troubleshoot technology problems. In these cases, the System Administrator will provide the necessary information to the Developer so he/she can assist with the problem, which is considered indirect access since the System Administrator will provide the Developer with the necessary information as opposed to the Developer being able to access it directly. Access to the data is determined by the manager based on a user's position and need-to-know. The manager will request a user to be added. They must submit the request via the Business Entitlement Access Request System (BEARS) process to request access to the System.

23 Is there a data dictionary on file for this system? Note: Selecting "Yes" indicates an upload to the Attachment Section is required.

Yes

25 Please upload all privacy risk finding documents identified for the system (Audit trail, RAFT, POA&M, Breach Plan, etc.); click "yes" to confirm upload(s) are complete.

No

26 Describe this system's audit trail in detail. Provide supporting documents.

TRA writes logging records to the Management Information System (MIS) maintained by Integrated Customer Communication Environment (ICCE). These records are not deleted or archived.

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

No

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Transcript Delivery System (TDS)

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Individual Master File (IMF)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

This SORN is used to support taxpayers by pulling their information.

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

This SORN is used to audit the system.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

28 Tax Administration - Collections

What is the GRS/RCS Item Number?

158

What type of Records is this for?

Both (Paper and Electronic)

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

The View Transcript (TRA) is an Integrated Customer Communications Environment (ICCE) Web Applications (Web Apps) applet that allows approved taxpayers to conduct payment agreement activities on-line.

What is the disposition schedule?

AUTHORIZED DISPOSITION Delete/Destroy any (taxpayer-entered) cached input files and data immediately following validation of receipt by the system. The data repositories and warehouses of all other source data are appropriately scheduled under other Records Control Schedules of the Internal Revenue Service.