

Date of Approval: **February 25, 2019**

PIA ID Number: **3890**

SYSTEM DESCRIPTION

Enter the full name and acronym for the system, project, application and/or database.

PeopleTrak, PTrak

Is this a new system?

No

Is there a PCLIA for this system?

Yes

What is the full name, acronym and milestone of the most recent PCLIA?

PCLIA 1639

What is the approval date of the most recent PCLIA?

2/12/2016

Changes that occurred to require this update:

Expiring PCLIA

Were there other system changes not listed above?

No

What governance board or Executive Steering Committee (ESC) does this system report to? Full name and acronym.

Sustaining Operations (SO) Human Capital Board

Current ELC (Enterprise Life Cycle) Milestones:

Operations & Maintenance (i.e. system is currently operational)

Is this a Federal Information Security Management Act (FISMA) reportable system?

Yes

GENERAL BUSINESS PURPOSE

What is the general business purpose of this system? Provide a clear, concise description of the system, application or database, the reason for the system, and the benefits to the IRS to use the information, and how the information will be used.

PeopleTrak (PTrak) is an internal web-based application that is not able to be accessed by the public. The application is used by all Business Units within the IRS to maintain and manage position data, contingency plans for staffing throughout the agency, hiring initiatives, employee hiring plan data for both external and internal hires, workforce initiatives, onboarding, telework, training programs, and span of control information. PTrak tracks hiring plans by the organization, location and position of record and many internal and external hiring data into a service-wide position management system.

PII DETAILS

Does the system use, collect, receive, display, store, maintain, or disseminate IR Code 6103 taxpayer information; or any other type of Sensitive but Unclassified (SBU) information or PII such as information about IRS employees or outside stakeholders?

Yes

Does the system use, collect, receive, display, store, maintain, or disseminate Social Security Numbers (SSN's) or tax identification numbers (i.e. last 4 digits, etc.)?

Yes

What types of tax identification numbers (TIN) apply to this system?

Social Security Number (SSN)

List the approved Treasury uses of the SSN:

Security Background Investigations

Explain why the authorized use(s) above support the new or continued use of SSNs (or tax identification numbers)

The SSN is currently required to uniquely identify the individual for various business needs. The SSN is collected to maintain the records correctly because other people may have the same name and birth date.

Describe the planned mitigation strategy and forecasted implementation date to mitigate or eliminate the use of SSN's (or tax identification numbers).

The SSN is collected to maintain the records correctly because other people may have the same name and birth date. Therefore, there is no mitigation strategy at this time.

Does this system use, collect, receive, display, store, maintain or disseminate other (non-SSN) PII (i.e. names, addresses, etc.)?

Yes

Specify the PII Elements:

Name
Mailing address
Phone Numbers
E-mail Address
Date of Birth
Place of Birth
Standard Employee Identifier (SEID)
Criminal History
Certificate or License Numbers
Passport Number
Employment Information

Does this system use, collect, receive, display, store, maintain, or disseminate SBU information that is not PII?

Yes

Specify the types of SBU from the SBU Types List

Official Use Only (OUO) or Limited Official Use (LOU) Information designated as OUO or LOU is information that: is exempt under one of the statutory Freedom of Information Act exemptions; is prohibited by other laws or regulations; would significantly impede the agency in carrying out a responsibility or function; or would constitute an unwarranted invasion of privacy.

Are there other types of SBU/PII used in the system?

No

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

SSN for personnel administration (IRS Employees) is 5 USC & Executive Order 9397

PII for personnel administration is 5 USC

Has the authority been verified with the system owner?

Yes

BUSINESS NEEDS AND ACCURACY

Explain the detailed business needs and uses for the SBU/ PII, and how the SBU / PII is limited only to that which is relevant and necessary to meet the mission requirements of the system. If SSNs (or tax identification numbers) are used, explicitly explain why use of SSNs meets this criteria. Be specific.

Each data element is required to allow the Human Resources Assistant/Specialist to complete the management of the job position system, to import hiring plans, and meet hiring initiatives and to track individual positions to the individual employees. The SSN auto-validates position records for new hires and all active service employees. The SSN is always truncated (last 4-digits) and available to users only in the position record. The validated position record feeds span of control, workforce initiatives (hire and Reduction in Force (RIF), buyouts, etc.), pre-screening and mission critical occupations new hire training for IRS organizations. The truncated SSN is not passed to or exposed in other PTrak modules, except to validate identify and establish rights for benefits in workforce initiatives (downsizing, buyouts, RIF).

How is the SBU/PII verified for accuracy, timeliness and completion?

PTrak receives data from Human Resources Reporting Center (HRRC), which has its own verification process for data accuracy, timeliness, completeness and therefore PTrak assumes the data is accurate, timely and complete when provided by HRRC. Users cannot change PII in the system, as the PII is part of IRS official records and is only changed if a change to the position or the person is initiated through HR Connect, through our data feeds. Data is auto updated every two weeks as HRRC sends PTrak updated files.

PRIVACY ACT AND SYSTEM OF RECORDS

The Privacy Act requires Federal agencies that maintain a system of records to publish systems of records notices (SORNs) in the Federal Register for records from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence. The Privacy Act also provides for criminal penalties for intentional noncompliance.

Does your application or this PCLIA system pertain to a group of any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.

Yes

Identify the Privacy Act SORN(s) that cover these records.

IRS 36.003 General Personnel and Payroll Records

IRS 34.037 Audit Trail and Security Records

RESPONSIBLE PARTIES

Identify the individuals for the following system roles:

Official Use Only

INCOMING PII INTERFACES

Does the system receive SBU/PII from other systems or agencies?

Yes

Does the system receive SBU/PII from IRS files and databases?

Yes

Enter the files and databases:

System Name: HRRC

Current PCLIA: Yes

Approval Date: 6/26/2017

SA&A: Yes

ATO/IATO Date: 5/8/2017

Does the system receive SBU/PII from other federal agency or agencies?

No

Does the system receive SBU/PII from State or local agency (-ies)?

No

Does the system receive SBU/PII from other sources?

No

Does the system receive SBU/PII from Taxpayer forms?

No

Does the system receive SBU/PII from Employee forms (e.g. the I-9)?

Yes

Please identify the form number and name:

Form Number: I-9 Form Name: Employment Eligibility Verification

Form Number: OF-306 Form Name: Declaration for Federal Employment

DISSEMINATION OF PII

Does this system disseminate SBU/PII?

No

PRIVACY SENSITIVE TECHNOLOGY

Does this system use social media channels?

No

Does this system use privacy-sensitive technologies such as mobile, global position system (GPS), biometrics, RFID, etc.?

No

Does the system use cloud computing?

No

Does this system/application interact with the public?

No

INDIVIDUAL NOTICE AND CONSENT

Was/is notice provided to the individual prior to collection of information?

Yes

How is notice provided? Was the individual notified about the authority to collect the information, whether disclosure is mandatory or voluntary, the purpose for which the information will be used, with whom the information may be shared, and the effects on the individual, if any, if they decide not to provide all or any of the requested information?

PTrak obtains PII from the HR Connect system operated by Treasury. HR Connect notifies users that there is no right to privacy when using the system.

Do individuals have the opportunity to decline from providing information and/or from consenting to particular uses of the information?

No

Why not?

PTrak is only a repository of HR information collected through other IRS applications and government forms. PeopleTrak does not interact with taxpayers and thus notice, consent, and due process are pursuant to United States Code 5.

How does the system or business process ensure 'due process' regarding information access, correction and redress?

PTrak is only a repository of HR information collected through other IRS applications and government forms. PeopleTrak does not interact with taxpayers and thus notice, consent, and due process are pursuant to United States Code 5.

INFORMATION PROTECTION

Identify the owner and operator of the system (could be IRS owned and Operated; IRS owned, contractor operated; contractor owned and operated)

IRS Owned and Operated

The following people have access to the system with the specified rights:

IRS Employees

Users: Read Write

Managers: Administrator

System Administrators: Administrator

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

PTrak utilizes the standard IRS Online 5081 application to document approvals for access. Data access is granted on a need-to-know basis. A potential user must submit a request for access to their local management for approval. Users are not permitted access without a signed form from an authorized management official. Specific permissions (Read, Write, Modify, Delete, and/or Print) are defined on the form and set (activated) by the System Administrator prior to the user being allowed access. User privileges and user roles determine the types of data that each user has access to.

RECORDS RETENTION SCHEDULE

Are these records covered under a General Records Schedule (GRS, IRS Document 12829), or has the National Archives and Records Administration (NARA) approved a Records Control Schedule (RCS, IRS Document 12990) for the retention and destruction of official agency records stored in this system?

Yes

How long are the records required to be held under the corresponding GRS or RCS, and how are they disposed of? In your response, please provide the GRS or RCS chapter number, the specific item number, and records series title.

PTrak adheres to General Records Schedule (GRS) 3.1, item 010; and GRS 4.3, items 020, 030, 031 and 040. It also follows retention requirements as stipulated in GRS 1 for various Civilian Personnel Records. GRS are published in IRS Document 12829. For eliminating data. Treasury and its bureaus adhere to the Federal Records Act and National Archives and

Records Administration guidelines. Both the PTrak application audit records and Oracle database audit records are maintained for one year to support after-the-fact investigations of security incidents. The web server application/database server auditing is managed at the IT-30 and IT-24 GSS levels.

SA&A OR ASCA

Has the system been through SA&A (Security Assessment and Authorization) or ASCA (Annual Security Control Assessment)?

Yes

What date was it completed?

8/25/2015

Describe the system's audit trail.

PTrak has audit reports covering 17 different areas, all related to system use by active users. Examples include: PTrak users by role and access level, users with no activity in 45, 90 and 180 days, related automatic account inactivation's and account deletions respectively, failed login attempts, new users, deleted users, last password change date and a number of others. All can be generated in real time for viewing and action by the security administrator. PTrak is following the appropriate audit trail elements pursuant to current Audit Logging Security Standards.

PRIVACY TESTING

Does the system require a System Test Plan?

No

Please explain why:

PTrak is currently in the Operations and Maintenance phase of its lifecycle. Continuous Monitoring (now called Annual Security Control Assessment) occurs annually to ensure that controls remain in place to properly safeguard PII.

SBU DATA USE

Does this system use, or plan to use SBU Data in Testing?

No

NUMBER AND CATEGORY OF PII RECORDS

Identify the number of individual records in the system for each category:

IRS Employees: 50,000 to 100,000

Contractors: More than 10,000

Members of the Public: Under 100,000

Other: No

CIVIL LIBERTIES

Does the system maintain any information describing how any individual exercises their rights guaranteed by the First Amendment?

No

Is the system information used to conduct 'data-mining' as defined in the Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53, Section 804?

No

Will this system have the capability to identify, locate, and monitor individuals or groups of people?

No

Does computer matching occur?

No

ACCOUNTING OF DISCLOSURES

Does the system include or require disclosure of tax or employee information to anyone other than IRS employees in the performance of their duties, or to the person to whom the information pertains or to a 3rd party pursuant to a Power of Attorney, tax or Privacy Act consent?

No