Date of Approval: **September 17, 2021**

PIA ID Number: **6021**

SYSTEM DESCRIPTION

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

Data Science Team Tableau Production Server, DST Tableau PROD

Is this a new system?

Yes

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

IT Change Control Board (ITCCB)

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.

The Data Science team develops data products for Large Business & International (LB&I) customers that consumes Personally Identifiable Information (PII) / Sensitive But Unclassified (SBU) data. We collaborate with IRS data owners to ensure the data products bring knowledge and answer questions about the data. Completed data products are then visualized using Tableau software and published to the secured Tableau Production Server (PROD) with Online 5081 restricted access. Tableau visualizes data to help it be more understandable by searching for trends, patterns, and potential examination items. It answers questions by summarizing and analyzing large columnar data sets into easily understandable and interactable visual dashboards. Tableau workbooks are used at all levels of LB&I, advancing from the production team level to use by front-line managers and executives to make staffing, case selection and management, and resource allotment decisions across the country at all levels of LB&I activities.

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:

When there is no reasonable alternative means for meeting business requirements

Statistical and other research purposes

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

While the data that is received contains SSNs, the statistical and research use of the data does not use or show the SSN and is only presented through concise visualizations in order to assist leadership in making information and timely decisions.

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

There currently is no mitigation strategy. The data that is received contains tax identification numbers, but they are not seen or used by the end users.

Employer Identification Number

Other Taxpayer Identification Number

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
Standard Employee Identifier (SEID)
Employment Information
Tax Account Information
Centralized Authorization File (CAF)

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:

Agency Sensitive Information   Information which if improperly used or disclosed could adversely affect the ability of the agency to accomplish its mission.

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.

Protected Information   Information which if modified, destroyed, or disclosed in an unauthorized manner could cause loss of life, loss of property or funds by unlawful means, violation of personal privacy or civil rights, gaining of an unfair procurement advantage by contractors bidding on government contracts, or disclosure of proprietary information entrusted to the Government.

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

Yes

Describe the other types of SBU/PII that are applicable to this system.

Federal tax information, such as amounts from tax returns, filing status, transactional data, etc. PII/SBU data varies by the project. Some, such as the Economic Impact Payments (EIP) workbook tracks payments to individuals receiving stimulus payments in US and its territories, including name, location, SSN, etc. The Campaign Dashboard contains information for all current LB&I active campaigns. Form 8918 data includes information on tax shelters around the world, including name, location, TIN, material advisor information, etc.). The Skills Inventory workbook provides information for LB&I Front-Line Managers and Executives related to employee skills and location to make determinations on case selection and workload, including employee name, SEID, address, post of duty (POD), skills, experience, etc.

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

PII for federal tax administration is generally Internal Revenue Code Sections 6001, 6011, & 6012e(a)

SSN for tax returns and return information is Internal Revenue Code Section 6109

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.

The Tableau reports may display business unit (BU) specific SBU/PII (sensitive but unclassified / personally identifiable information) data as required by LB&I management and personnel for reporting, planning, monitoring and make fact-based decisions and assessments. The ability to drill down to BU specific information may also be available. Actual PII/SBU data (such as name, EIN, or SSN) is required for the functionality of the data product. For example, Economic Impact Payments (EIP) data product needs to link US and US-territories to confirm EIP payments were made correctly by the proper payer and also no duplicate payments were received by individuals. To do so, it is necessary to compare PII information (such as name or SSN) between multiple data sources to detect matches. The Campaign Dashboard needs information on current campaign activity and Audit Information Management System (AIMS) data to track progress. Another example, the Skills Inventory tool analyzes employee skill data; the data required could include Employee information such as name, SEID, post-of-duty location, etc. At time the server contains individual workbooks that are created specifically for the presentation of data and collaboration with the product team. Each workbook has unique permissions which restrict use of PII/SBU data to the data owner and relevant subject matter experts who have had access approved through the Online 5081 process.

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

The sources providing SBU/PII are reliable and have been verified by the internal source including the information through completion of audits and reviews. Hence, source of information is considered accurate, timely, and complete. The Project Team Manager in collaboration with the Tableau visualization creator (a member of the Data Science Team, who is most commonly also an Administrator of the Tableau PROD Server) is responsible for ensuring the accuracy of all taxpayer tax administrative information contained in their site and where inaccuracies are found, to ensure the inaccuracies are promptly corrected.

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 42.021   Compliance Programs and Projects Files

IRS 42.017   International Enforcement Program Information Files

IRS 42.008   Audit Information Management System

IRS 00.001   Correspondence Files and Correspondence Control Files

IRS 36.003   General Personnel and Payroll Records

IRS 24.030   Customer Account Data Engine Individual Master File

IRS 24.046   Customer Account Data Engine Business Master File

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: LB&I DataMart - AIMS, (Business Return Transaction File (BRTF), Data Capture System (DCS), Schedule K1, Modernized E File (MEF), TC_590
Current PCLIA: Yes
Approval Date: 11/26/2018
SA&A: Yes
ATO/IATO Date: 10/18/2020

System Name: ACIS - AIMS
Current PCLIA: Yes
Approval Date: 11/26/2018
SA&A: Yes
ATO/IATO Date: 9/15/2020

System Name: Compliance Data Warehouse (CDW)
Current PCLIA: Yes
Approval Date: 9/16/2020
SA&A: No

System Name: ERCS
Current PCLIA: Yes
Approval Date: 1/22/2020
SA&A: Yes
ATO/IATO Date: 12/15/2019

System Name: Issue Management System (IMS)
Current PCLIA: Yes
Approval Date: 9/3/2019
SA&A: Yes
ATO/IATO Date: 5/12/2021

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?

Yes

Please identify the form number and name:

    Form Number: Form 1120
    Form Name: US Corporation Income Tax Return

    Form Number: Form 1120L
    Form Name: US Life Insurance Company Income Tax Return

    Form Number: Form 1040
    Form Name: US Individual Income Tax Return

    Form Number: Form 8918
    Form Name: Material Advisor Disclosure Statement

    Form Number: Form 8264
    Form Name: Application for Registration of a Tax Shelter

    Form Number: Form 8275
    Form Name: Disclosure Statement

    Form Number: Form 8275R
    Form Name: Regulation Disclosure Statement

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

    No

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?

Information gathered is not collected directly from individuals. Most common sources of data are various IRS Databases and files, which in turn are tax forms filed by tax entities. Notice, consent, and due process are provided in the tax form instructions, and pursuant to 5 USC.

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

No

Why not?

The IRS has the legal right to ask for information per IRC sections 6001, 6011, and 6012(a), and their regulations. The regulations state that "taxpayers must file a return or statement with IRS for any tax they are liable for". Their response is mandatory under these sections. The information is not collected directly from individuals. The information utilized by the application is the information obtained from various IRS databases and files, which in turn are tax forms filed by tax entities. Notice, consent, and due process are provided in the tax forms instructions, and pursuant to 5 USC.

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

Since this system only pulls data from other tax systems, the originating system that processes the data won't allow due process because it only connects to the data for display/visualizations. The originating systems that process the data will offer due process where further investigative action will be completed in order to identify and select cases that need additional research.

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: Read Only

System Administrators: Administrator

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

Product team managers provided a list of verified IRS employees who are working on the project (obtaining, analyzing, and munging data; development and analysis of visualizations; other product-development related activities). These employees are instructed by the Administrator of the Tableau PROD Server how to obtain Online 5081 permissions and once granted by upper management, the Admin sets up restrictive permissions to access only their data product and provides the link to gain access.

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.

All records for the Data Science Team Tableau Production Server will be deleted or destroyed in accordance with approved retention periods. Any records will be managed according to requirements under IRM 1.15.1 and 1.15.6 and will be destroyed using IRS General Records Schedule (GRS) 5.2, Item 020 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer.

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?

1/29/2021

Describe the system's audit trail.

Tableau Server maintains extensive log files of data connections, all server content, and user interactions. The items are tracked by SEID, individual workbooks used, what type of use (login, access interaction, time frame, number of actions, etc.), background tasks, performance of flows, stats for load times, space storage, etc. Tableau server can also show graphs for traffic to specific workbooks and by whom and what pages.

PRIVACY TESTING

Does the system require a System Test Plan?

No

Please explain why:

The parent application is responsible for the System Test Plan. The test results are stored with other ELC artifacts on SharePoint. 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: Under 50,000

Contractors: Not Applicable

Members of the Public: More than 1,000,000

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