Date of Approval: **October 08, 2020**

PIA ID Number: **5033**

SYSTEM DESCRIPTION

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

Assistant Deputy Commissioner Compliance Integration, ADCCI DAS Tableau Server

Is this a new system?

Yes

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

Risk Inventory Control Review Board (RICB)

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?

No

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 purpose of the ADCCI DAS Tableau Server is to provide the business unit with enhanced reporting capabilities through the data visualization and analysis capabilities of the tool. This enables high quality decision making. Tableau does not store or move SBU/PII data, but rather points to and uses data in place. Tableau data connections include flat files such as Excel, Text and .csv files, as well as, server-based connections to live data sources including and not limited to Large Business &International LB& I Data Mart and Compliance Data Warehouse CDW databases, which already have an approved PCLIA. Depending on the information requested, the ADCCI DAS Tableau Server will be used to create, display and distribute data to the requestor. Data visualization examples include but are not limited to use of Discovery Directory Data to assist management with identifying areas of risk in institutional knowledge loss due to retirements and showing work force distribution alongside geographic exam assignments juxtaposed against data on aging. Other data visualization projects include the analysis of tax return information from Compliance Data Warehouse (CDW) and/or LB&I Data Mart Data Capture System (DCS) to assist in highlighting areas of taxpayer noncompliance and changes in taxpayer filing behavior.

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)

Taxpayer analysis requires the ability to uniquely identify taxpayers. There is no reasonable substitute for SSN or TIN to identify taxpayers.

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

The Office of Management and Budget Circular A-130 requires that federal agencies develop a mitigation or elimination strategy for systems that use SSNs, which the Service continues to develop strategies to meet. An exception to that requirement is when the SSN is uniquely needed to identify a user's record.

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

E-mail Address

Date of Birth

Place of Birth

Standard Employee Identifier (SEID)

Mother's Maiden Name

Certificate or License Numbers

Passport Number

Alien Number

Financial Account Numbers

Photographic Identifiers

Employment Information

Tax Account 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:

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.

Proprietary data   Business information that does not belong to the IRS

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, State and Local Tax Information - for example, income amounts from tax returns, filing status, fact of filing, transactional details.

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 BU specific SBU/PII data as required by LB&I management and personnel in order to research and make fact-based decisions and assessments. The ability to drill down to BU specific information may also be available. This feature is necessary for the administration of the Tax Law pertaining to Business Tax Returns and Tax Returns containing International Business transactions or features. Taxpayer SSNs, TINs and other PII are also part of the third-party data received from the federal, state, and local agencies used to perform research and determine if further investigation or actions are needed to resolve compliance issues. Similar data is received as part of taxpayer filings and available through OnLine5081 approval to various internal data sources.

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 or external agency providing the information through completion of audits and reviews. Hence, source of information is considered accurate, timely, and complete. IRS will use both internal and third-party data provided through these referrals to perform further research and verification using IRS systems and IRS data to determine audit potential or other appropriate action. Where indicators of non-compliance exist, IRS will take the necessary enforcement actions to ensure compliance.

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: CDW - Compliance Data Warehouse
Current PCLIA: Yes
Approval Date: 8/30/2018
SA&A: Yes
ATO/IATO Date: 5/29/2018

System Name: DCS - Data Capture System
Current PCLIA: Yes
Approval Date: 3/21/2019
SA&A: Yes
ATO/IATO Date: 8/6/2020

System Name: IPM - Integrated Production Model (Greenplum)
Current PCLIA: Yes
Approval Date: 6/6/2019
SA&A: Yes
ATO/IATO Date: 6/6/2020

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)?

No

DISSEMINATION OF PII

Does this system disseminate SBU/PII?

Yes

Does this system disseminate SBU/PII to other IRS Systems?

No

Does this system disseminate SBU/PII to other Federal agencies?

No

Does this system disseminate SBU/PII to State and local agencies?

No

Does this system disseminate SBU/PII to IRS or Treasury contractors?

No

Does this system disseminate SBU/PII to other Sources?

Yes

Identify the other source(s) that receive SBU/PII from this system, and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

Organization Name: Internal Sources
Transmission Method: ADCCI DAS Tableau Server/Data/Screenshots
ISA/MOU   No

Identify the authority

26 U.S.C. 6103

Identify the Routine Use in the applicable SORN (or Privacy Act exception)

IRS 42.008: Audit Information Management System; This system is exempt from 5 U.S.C. 552a(c)(3), (d)(1)-(4), (e)(1), (e)(4)(G)-(I) and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). (See 31 CFR 1.36).

For what purpose?

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103

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?

No

Why not? If information is not collected directly from an individual, please discuss the factors considered in deciding to collect information from third party sources.

In some instances, the information is not collected directly from individuals. In other instances, the information utilized by the application is the information obtained from various IRS databases (i.e. CDW, DCS, etc.) 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.

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?

This system 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 will be stored in a secure location and only accessible by authorized IRS personnel for official business use. The ADCCI Tableau Server provides several levels of secure access: 1. The employee's manager must approve access to data source with a need-to-know; 2. An Online 5081 process of approval must be initiated and adhered to for access to the ADCCI DAS Tableau Server; 3. Folder level permissions are granted and maintained by Tableau Administrators; 4. Specific Row Level Security can also be enforced.

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 Only

Managers: Read Only

System Administrators: Administrator

Developers: Read Write

IRS Contractor Employees

Contractor Users: Read Only

Contractor Developers: Read Write

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

All access credential requests are enforced through the Online 5081 process for granting permissions to systems and applications used by IRS personnel. A formal request is made though the IRS employees' management chain. Online 5081 forms are completed. Each request is evaluated and a determination to grant access or deny access is made. IRS employees who are authorized on the system will have access to the data. ADCCI DAS Tableau Site Administrators utilize the role-based access features on the COTS (commercial off-the-shelf software) product to limit further access to users. Users are only permitted to access data authorized by their manager.

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.

GENERAL RECORDS SCHEDULE 5.2: Transitory and Intermediary Records: Data displayed in Tableau are not the official records and therefore this Tableau Server instance is not considered an official recordkeeping system. The Tableau Administrator will ensure that data and reports are appropriately destroyed/deleted when no longer needed for reference. These copies are maintained in accordance with General Records Schedule (GRS) 5.2, item 020 Intermediary Records published in IRS Document 12829. Disposition: Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.

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?

6/16/2019

Describe the system's audit trail.

The Enterprise Business Intelligence Platform (EBIP) is the parent application for the ADCCI DAS Tableau The Tableau Enterprise Visualization (TEV) platform includes an auditing capability that tracks user activity in the system, from successful sign-on to workbooks viewed, refreshed, or created.

PRIVACY TESTING

Does the system require a System Test Plan?

No

Please explain why:

The Enterprise Business Intelligence Platform (EBIP) parent application is responsible for the System Test Plan. The test results are stored with other ELC artifacts on SharePoint. EBIP 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: Not Applicable

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