Date of Approval: **April 06, 2020**

PIA ID Number: **4745**

SYSTEM DESCRIPTION

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

Security Audit & Analysis System, SAAS

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?

Security Audit & Analysis System, SAAS, 3253 Complete

What is the approval date of the most recent PCLIA?

4/13/2018

Changes that occurred to require this update:

Internal Flow or Collection

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.

Application Development (AD) Internal Management Governance Board. Currently SAAS and the Enterprise Security Audit Trails (ESAT) does not report to a Governance Board or an ESC.

Current ELC (Enterprise Life Cycle) Milestones:

System Development/Milestone 4B

System Deployment/Milestone 5

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 purpose of the (SAAS) Security Audit & Analysis System is to collect security audit information. SAAS assists Cybersecurity, Business Units, and Treasury Inspector General for Tax Administration (TIGTA) to detect unauthorized intrusions and privileged access abuse. Security audit information is defined as: a chronological record of user activities that is sufficient to enable the reconstruction, review, and examination of those activities; a set of records that collectively provide evidence to support enforcement actions; a set of auditable events that include all related user actions that lead up to a particular event. The audit trail record must convey these actions (i.e. user interface activities) in the record in a useful manner such that the auditable event and related actions can be reconstructed and presented in the context in which it happened.

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:

Another compelling reason for collecting the SSN

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

The SAAS System collects application audit trails that contain SSNs for the purpose of forensic investigations to identify potential Unauthorized Access (UNAX) of taxpayer data required by the Taxpayer Browsing Act.

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

The use of SSNs is authorized per Internal Revenue Code Section 6109 and there is not reasonable alternative for meeting the business requirements of this system.

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

Protection Personal Identification Numbers (IP PIN)

Internet Protocol Address (IP Address)

Criminal History

Medical Information

Certificate or License Numbers

Vehicle Identifiers

Passport Number

Alien Number

Financial Account Numbers

Photographic Identifiers

Biometric Identifiers

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

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?

No

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

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

PII for personnel administration is 5 USC

PII about individuals for Bank Secrecy Act compliance 31 USC

Information by CI for certain money laundering cases may be 18 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.

The purpose of the SAAS system is to collect security audit information. SAAS assists Cybersecurity, Business Units, and Treasury Inspector General for Tax Administration (TIGTA) to detect unauthorized intrusions and privileged access abuse. Security audit information is defined as: a chronological record of user activities that is sufficient to enable the reconstruction, review, and examination of those activities; a set of records that collectively provide evidence to support enforcement actions; a set of auditable events that include all related user actions that lead up to a particular event. The audit trail record must convey these actions (i.e. user interface activities) in the record in a useful manner such that the auditable event and related actions can be reconstructed and presented in the context in which it happened.

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

SAAS is an application that receives audit trails from other applications. The applications are responsible for ensuring SBU/PII is verified for accuracy, timeliness, and completeness.

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 34.037 Audit Trail and Security Records

IRS 36.003 General Personnel and Payroll 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: Compliance Data Environment (CDE)
Current PCLIA: Yes
Approval Date: 3/19/2019
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Enterprise Business Intelligence Platform (EBIP)
Current PCLIA: Yes
Approval Date: 8/1/2019
SA&A: Yes
ATO/IATO Date: 6/25/2019

System Name: Credit (ICCE)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/10/2019

System Name: Electronic Authentication (EAUTH)
Current PCLIA: Yes
Approval Date: 7/10/2018
SA&A: Yes
ATO/IATO Date: 2/10/2017

System Name: Chapter Three Withholding System (CTW)
Current PCLIA: Yes
Approval Date: 10/23/2017
SA&A: Yes
ATO/IATO Date: 4/15/2018

System Name: Embedded Quality Review System Campus (EQRSC)
Current PCLIA: Yes
Approval Date: 10/31/2019
SA&A: Yes
ATO/IATO Date: 3/30/2017

System Name: Embedded Quality Review System Field (EQRSF)
Current PCLIA: Yes
Approval Date: 2/25/2019
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Electronic Federal Payment Posting System (EFPPS)
Current PCLIA: Yes
Approval Date: 5/4/2018
SA&A: Yes
ATO/IATO Date: 4/15/2018

System Name: Excise Files Information Retrieval System (EXFIRS)
Current PCLIA: Yes
Approval Date: 1/23/2020
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Excise Summary Terminal Activity Reporting System (EXSTARS)
Current PCLIA: Yes
Approval Date: 1/23/2020
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Federal Student Aid IRS Datashare (FSAD)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/15/2015

System Name: Information Returns Master File Processing (IRMF)
Current PCLIA: Yes
Approval Date: 6/25/2019
SA&A: Yes
ATO/IATO Date: 12/29/2017

System Name: International Compliance Management Model FATCA International Returns (ICMM FIR)
Current PCLIA: Yes
Approval Date: 11/18/2019
SA&A: Yes
ATO/IATO Date: 1/14/2016

System Name: Issue Management System (IMS)
Current PCLIA: Yes
Approval Date: 9/3/2019
SA&A: Yes
ATO/IATO Date: 5/7/2017

System Name: Identity Protection Personal Identification Number (IPPIN)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Internet Refund Fact Of Filing (IRFOF)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Taxpayer Identification Number - Real Time System (ITIN RTS)
Current PCLIA: Yes
Approval Date: 2/13/2018
SA&A: Yes
ATO/IATO Date: 4/15/2018

System Name: Information Reporting and Document Matching Business Master File Analytics (IRDMBMFA)
Current PCLIA: Yes
Approval Date: 2/18/2019
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Information Reporting and Document Matching Case Inventory Selection & Analytics (IRDMCISA)
Current PCLIA: Yes
Approval Date: 2/18/2019
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Modernized Electronic Filing (MEF)
Current PCLIA: Yes
Approval Date: 2/20/2019
SA&A: Yes
ATO/IATO Date: 4/15/2018

System Name: Modernized Internet Employer Identification Number (MODIEIN)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Order a Transcript (OAT)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Big Data Analytics (BDA)
Current PCLIA: Yes
Approval Date: 11/2/2017
SA&A: Yes
ATO/IATO Date: 12/15/2016

System Name: Tax Return Database (TRDB)
Current PCLIA: Yes
Approval Date: 10/30/2018
SA&A: Yes
ATO/IATO Date: 12/11/2012

System Name: Automated Manual Assessments (AMA)
Current PCLIA: Yes
Approval Date: 5/3/2018
SA&A: Yes
ATO/IATO Date: 2/19/2019

System Name: Automated Enrollment (AE)
Current PCLIA: Yes
Approval Date: 4/24/2017
SA&A: Yes
ATO/IATO Date: 12/29/2017

System Name: Automated Freedom of Information Act (AFOIA)
Current PCLIA: Yes
Approval Date: 11/3/2017
SA&A: Yes
ATO/IATO Date: 1/18/2018

System Name: Automated Quarterly Excise Tax Listing (AQETL)
Current PCLIA: Yes
Approval Date: 1/22/2020
SA&A: Yes
ATO/IATO Date: 12/11/2018

System Name: Branded Prescription Drug (BPD)
Current PCLIA: Yes
Approval Date: 6/29/2018
SA&A: Yes
ATO/IATO Date: 7/29/2019

System Name: Counsel Automated Systems Environment Management Information System (CASEMIS)
Current PCLIA: Yes
Approval Date: 3/14/2018
SA&A: Yes
ATO/IATO Date: 5/10/2017

System Name: Enterprise Web-Based Suite of Services (eServices)
Current PCLIA: Yes
Approval Date: 8/7/2019
SA&A: Yes
ATO/IATO Date: 9/26/2019

System Name: Foreign Account Tax Compliance Act (FATCA)
Current PCLIA: Yes
Approval Date: 11/18/2019
SA&A: Yes
ATO/IATO Date: 11/12/2019

System Name: Enhanced BOD Routing (EBR-ICCE)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Automated Collection System (ACS)
Current PCLIA: Yes
Approval Date: 10/12/2018
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Automated Liens System-Entity (ALS Entity)
Current PCLIA: Yes
Approval Date: 10/30/2019
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Account Management System (AMS)
Current PCLIA: Yes
Approval Date: 9/26/2017
SA&A: Yes
ATO/IATO Date: 11/26/2019

System Name: Automated Non-Masterfile (ANMF)
Current PCLIA: Yes
Approval Date: 2/14/2018
SA&A: Yes
ATO/IATO Date: 4/15/2018

System Name: Automated Underreporter (AUR)
Current PCLIA: Yes
Approval Date: 6/12/2019
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Business Masterfile Case Creation Non-Filer Identification Process (BMF CCNIP)
Current PCLIA: Yes
Approval Date: 3/14/2018
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Correspondence Examination Automation Support (CEAS)
Current PCLIA: Yes
Approval Date: 2/14/2018
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Corporate Authoritative Directory Service (CADS)
Current PCLIA: Yes
Approval Date: 2/6/2017
SA&A: Yes
ATO/IATO Date: 9/11/2017

System Name: Lead and Case Analytics Project Charter (CI LCA)
Current PCLIA: Yes
Approval Date: 4/26/2017
SA&A: Yes
ATO/IATO Date: 2/27/2019

System Name: Electronic Fraud Detection System (EFDS)
Current PCLIA: Yes
Approval Date: 12/18/2017
SA&A: Yes
ATO/IATO Date: 11/26/2019

System Name: Examination Returns Control System (ERCS)
Current PCLIA: Yes
Approval Date: 1/22/2020
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: External Services Authorization Management (ESAM)
Current PCLIA: Yes
Approval Date: 8/7/2019
SA&A: Yes
ATO/IATO Date: 9/26/2019

System Name: Enterprise Tracking (eTRAK)
Current PCLIA: Yes
Approval Date: 4/17/2019
SA&A: Yes
ATO/IATO Date: 9/6/2018

System Name: Online Payment Agreement (OPA)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Reporting Compliance Case Management System (RCCMS)
Current PCLIA: Yes
Approval Date: 10/18/2017
SA&A: Yes
ATO/IATO Date: 7/13/2018

System Name: Return Integrity and Compliance Services (RICS)
Current PCLIA: Yes
Approval Date: 3/4/2019
SA&A: Yes
ATO/IATO Date: 7/13/2018

System Name: Remittance Strategy for Paper Check Conversion (RSPCC)
Current PCLIA: Yes
Approval Date: 10/22/2019
SA&A: Yes
ATO/IATO Date: 4/15/2018

System Name: Remittance Transaction Research (RTR)
Current PCLIA: Yes
Approval Date: 5/3/2018
SA&A: Yes
ATO/IATO Date: 4/15/2018

System Name: Specialist Referral System (SRS)
Current PCLIA: Yes
Approval Date: 9/24/2018
SA&A: Yes
ATO/IATO Date: 5/7/2017

System Name: Selection & Workload Classification (SWC)
Current PCLIA: Yes
Approval Date: 3/21/2019
SA&A: Yes
ATO/IATO Date: 5/7/2017

System Name: First Time Home Buyers Credit (FTHBC)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Get Transcript (GETTRANS)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Health Coverage Tax Credit (HCTC)
Current PCLIA: Yes
Approval Date: 3/21/2019
SA&A: Yes
ATO/IATO Date: 4/15/2018

System Name: Integrated Financial System (IFS)
Current PCLIA: Yes
Approval Date: 4/27/2017
SA&A: Yes
ATO/IATO Date: 2/26/2019

System Name: Integrated Data Retrieval System (IDRS)
Current PCLIA: Yes
Approval Date: 10/11/2018
SA&A: Yes
ATO/IATO Date: 1/17/2018

System Name: Service Wide Employment Tax Research System (SWETRS)
Current PCLIA: Yes
Approval Date: 12/12/2019
SA&A: Yes
ATO/IATO Date: 7/15/2019

System Name: Totally Automated Personnel System (TAPS)
Current PCLIA: Yes
Approval Date: 10/5/2017
SA&A: Yes
ATO/IATO Date: 6/25/2018

System Name: Transcript Delivery System (TDS)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: WEB-APPS Federal Investigative (FIS)
Current PCLIA: Yes
Approval Date: 3/28/2018
SA&A: Yes
ATO/IATO Date: 3/7/2018

System Name: Large Midsize Business Workload Identification System (LWIS)
Current PCLIA: Yes
Approval Date: 3/5/2018
SA&A: Yes
ATO/IATO Date: 8/15/2019

System Name: PAY (ICCE)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: DEBIT (ICCE)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Voice Processing PIN (VPPIN) (ICCE)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Tax Litigation Counsel Automated Tracking System (TLCATS)
Current PCLIA: Yes
Approval Date: 5/9/2018
SA&A: Yes
ATO/IATO Date: 11/20/2017

System Name: TIN Matching (TM)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 7/14/2015

System Name: Tax Professional Preparer Tax (TPPS) Identification Number (PTIN)
Current PCLIA: Yes
Approval Date: 2/4/2020
SA&A: Yes
ATO/IATO Date: 3/29/2017

System Name: Web-Based Employee Technical Time System (WEBETS)
Current PCLIA: Yes
Approval Date: 10/1/2018
SA&A: Yes
ATO/IATO Date: 7/13/2018

System Name: Withholding Compliance System (WHCS)
Current PCLIA: Yes
Approval Date: 3/29/2018
SA&A: Yes
ATO/IATO Date: 7/15/2019

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?

Yes

Identify the full name and acronym of the IRS system(s) that receive SBU/PII from this system.

System Name: Tax Return Database (TRDB)
Current PCLIA: Yes
Approval Date: 10/30/2018
SA&A: Yes
ATO/IATO Date: 12/11/2012

System Name: Enterprise Directory Agent (EDA)
Current PCLIA: Yes
Approval Date: 3/3/2017
SA&A: Yes
ATO/IATO Date: 5/31/2016

System Name: Individual Return Master File (IRMF)
Current PCLIA: Yes
Approval Date: 3/9/2017
SA&A: Yes
ATO/IATO Date: 10/22/2015

Identify the authority

Taxpayer Browsing Protection Act (Public Law No. 105-35) The output to Tax Return Data Base (TRDB) and Information Return Master File (IRMF) returns to SAAS required taxfiler TINS and covered relationships for TIGTA UNAX investigations. Enterprise Directory Agent (EDA) provides updates to the Negative TIN database tables.

For what purpose?

Tax Return Data Base (TRDB) - SAAS sends a list of employee TINS (sent as Tickler Files) to provide back related restrict TIN information on covered relationships for TIGTA reviews. Enterprise Directory Agent (EDA) - SAAS provides EDA read access to look at employee restricted tins (SEID Lookup table and restricted TIN Table) to verify Negative TIN role in EUP (Own/Spouse/Former Spouse). The process compares the EDA Negative TIN table stored on the Negative TIN Mainframe repository with TIN restrictions available in the SAAS Data Warehouse. New restrictions found in SAAS (limited to Spouse and former spouse) for users currently assigned to an EUP Negative TIN Role are added to the EDA Negative TIN Table. Individual Return Master File (IRMF) - SAAS sends a List of Employee SSN to IRMF as a â€˜Tickler' file so that they return us the bi-annual Outside Employer Restricted TINS

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?

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?

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.

While SAAS cannot verify that the applications that send audit data to SAAS provide users a notification, SAAS does display a Privacy Notice for all users of SAAS indicating that Use of the system consents to monitoring, and etc. The following is displayed: *****THIS U.S. GOVERNMENT SYSTEM IS FOR AUTHORIZED USE ONLY!****Use of this system constitutes consent to monitoring, interception, recording, reading, copying or capturing by authorized personnel of all activities. There is no right to privacy in this system. Unauthorized use of this system is prohibited and subjected to criminal and civil penalties.****

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

No

Why not?

The SAAS application only collects data from individual applications for auditing purposes.

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

The system will allow affected parties the opportunity to clarify or dispute negative information that could be used against them. Due process is provided pursuant to 5 USC.

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: Read Only

Developers: Read Only

IRS Contractor Employees

Contractor Users: Read Only

Contractor Managers: Read Only

Contractor System Administrators: Read Only

Contractor Developers: Read Only

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

Individuals are required to submit an OL5081 request for access. Access is approved by the IT Cybersecurity Enterprise Security Audit Trails (ESAT)/SAAS Program Management Office (PMO).

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.

The National Archives and Records Administration (NARA) approved the destruction of SAAS Audit Data when 7 years old (Job No. N158-10-22, approved 4/5/2011). SAAS retention requirements are published under IRS Document 12990/Records Control Schedule 19 for Martinsburg Computing Center, item 88. GRS 3.2 Item 030/031-System access records. Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use. GRS 3.2 Item 060-PKI administrative records- Destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.

SA&A OR ASCA

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

In-process

When is the anticipated date of the SA&A or ACS completion?

4/29/2020

Describe the system's audit trail.

UserID, Usertype, System, EventType, EventID, TaxfilerTIN, SessionID, ScrAddr, ReturnCode, ErrorMsg, TimeStamp, VarData (Payload), TaxPeriod, MFTCode, ReturnType, TaxfilerTINType

PRIVACY TESTING

Does the system require a System Test Plan?

Yes

Is the test plan completed?

Yes

Where are the test results stored (or documentation that validation has occurred confirming that requirements have been met)?

All SAAS project assets are stored in the DocIT repository. Note: Test Documentation includes the artifacts and work products that provide evidence of successful verification of requirements. The End of Test Completion Report (EOTCR) will contain the summary of all tests. 1.2 Test Summary of the SAAS Test Plan identifies all tests performed during the release for effective system validation and verification. IRM Software Testing Standards and Procedures IRM 2.127 IRM 10.8.1, Information Technology (IT) Security, Policy and Guidance OS:CTO:ES:EST:TS:TS-TMP-System-Test-PlanV1.4-10302014 template.

Were all the Privacy Requirements successfully tested?

Yes

Are there any residual system privacy, civil liberties, and/or security risks identified that need to be resolved?

No

Describe what testing and validation activities have been conducted or are in progress to verify and validate that the applicable Privacy Requirements (listed in header) have been met?

IRM Software Testing Standards and Procedures IRM 2.127 IRM 10.8.1, Information Technology (IT) Security, Policy and Guidance OS:CTO:ES:EST:TS:TS-TMP-System-Test-PlanV1.4-10302014 template. All SAAS project assets are stored in the DocIT repository. Note: Test Documentation includes the artifacts and work products that provide evidence of successful verification of requirements. The End of Test Completion Report (EOTCR) will contain the summary of all tests.

SBU DATA USE

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

Yes

Was permission granted per the requirements of Form 14664, SBU Data Use Questionnaire or Form 14665, SBU Data Use Request?

Yes

Provide the date the permission was granted.

8/9/2016

Was testing performed in conformance with IRM 10.8.8 Information Technology (IT) Security, Sensitive But Unclassified (SBU) Data Policy?

Yes

NUMBER AND CATEGORY OF PII RECORDS

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

IRS Employees: More than 100,000

Contractors: Under 5,000

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?

Yes

Describe the type of information derived from these efforts and the technical (e.g., audit trails) or other processes used to limit unauthorized monitoring.

Application Audit Trails

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?

Yes

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.

Not Applicable