

Date of Approval: **August 01, 2019**

PIA ID Number: **4241**

## **SYSTEM DESCRIPTION**

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

Enterprise Business Intelligence Platform, EBIP

*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?*

PIA # 1698, Enterprise Business Intelligence Platform, EBIP

*What is the approval date of the most recent PCLIA?*

7/14/2016

*Changes that occurred to require this update:*

New Access by IRS employees or Members of the Public

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.*

Infrastructure Executive Steering Committee (IESC).

*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.*

Enterprise Business Intelligence Platform (EBIP) is a shared services Business Intelligence infrastructure platform. EBIP consists of Business Objects Enterprise (BOE) and Tableau Enterprise Visualization (TEV) components. BOE is a reporting platform. TEV is a data visualization and analysis platform. Both are part of the IRS Business Intelligence Strategy. EBIP provides business decision-making tools that enable users to increase productivity through data analysis resulting in more effective decision-making. There are multiple applications on the BOE and TEV platforms.

## **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:*

Legal/statutory basis (e.g. where collection is expressly required by statute)

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)*

Business Objects Enterprise (BOE) and Tableau Enterprise Visualization (TEV) are reporting and data analysis tools. Therefore, statistical and research are the intended use of these tools.

*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. EBIP requires the use of SSN's because no other identifier can be used to uniquely identify a taxpayer at this time. Business Objects Enterprise (BOE) has implemented a Negative Tax Identification Number (TIN) check that allows projects with Personally Identifiable Information (PII) data the ability to remove or mask TINs if required. BOE does not take on the responsibility of TIN data requirements. BOE provides a mechanism for projects to address TIN and restricted PII requirements. Tableau Enterprise Visualization (TEV) will implement a Negative TIN check capability in the same manner as BOE.

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

Standard Employee Identifier (SEID)

## 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 (SBUList)*

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

Procurement sensitive data - Contract proposals, bids, etc.

*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.*

Enterprise Business Intelligence Platform (EBIP) utilizes employee information, such as SEID, to communicate with the Negative TIN database. EBIP programs/projects perform queries from the data stores that contain Personally Identifiable Information (PII). EBIP programs/projects may utilize another employee information for their program needs. Tableau Enterprise Visualization (TEV) programs/projects are also allowed to use Tableau data extracts feature to receive and store data including SBU/PII within Tableau to enhance performance. These data extracts are for visualization purposes and will not serve as the system of record.

*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

*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.*

Enterprise Business Intelligence Platform (EBIP) reports and visualization displays may include taxpayer data. The EBIP users are granted access to the projects data by the project. If the tax identification numbers (TINs) or the Social Security numbers (SSNs) are available in the project data, they may be displayed in the Business Objects Enterprise (BOE) reports and/or in the Tableau visualizations.

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

Enterprise Business Intelligence Platform (EBIP) reports and visualization displays may include Sensitive But Unclassified/Personally Identifiable Information (SBU/PII) data. The users are granted access to the projects data by the project. If SBU/PII are available in the project data, they may be displayed in the Business Objects Enterprise (BOE) reports and/or in the Tableau visualizations. The EBIP projects are responsible for the accuracy of the data. There are internal programming consistency checks and record counts to validate project data that is accessed by BOE for query and analysis. The data that project receives is from internal IRS systems which are deemed reliable and the data is validated for accuracy by the system sending the data as described in that system's PCLIA. Any determinations made are validated during project's examination, collection etc. process and the taxpayer has appeal rights for any determinations made from the data.

## **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 24.030 Customer Account Data Engine Individual Master File

IRS 24.046 Customer Account Data Engine Business Master File

IRS 34.037 Audit Trail and Security Records System

IRS 42.021 Compliance Programs and Projects Files

## **RESPONSIBLE PARTIES**

*Identify the individuals for the following system roles:*

## For 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: Account Management Services (AMS)

Current PCLIA: Yes

Approval Date: 2/22/2018

SA&A: Yes

ATO/IATO Date: 3/16/2019

System Name: Modernized eFile (MEF)

Current PCLIA: Yes

Approval Date: 2/20/2019

SA&A: Yes

ATO/IATO Date: 2/9/2019

System Name: Customer Account Data Engine 2 (CADE2)

Current PCLIA: Yes

Approval Date: 3/21/2017

SA&A: Yes

ATO/IATO Date: 4/13/2019

System Name: Integrated Production Model (IPM) Report

Current PCLIA: Yes

Approval Date: 6/6/2019

SA&A: Yes

ATO/IATO Date: 4/1/2016

System Name: Information Reporting and Document Matching (IRDM)

Current PCLIA: Yes

Approval Date: 2/18/2019

SA&A: Yes

ATO/IATO Date: 10/2/2018

System Name: Business Masterfile Case Creation Nonfiler Identifier Program (BMF CCNIP)

Current PCLIA: Yes

Approval Date: 3/14/2018

SA&A: Yes

ATO/IATO Date: 7/19/2018

System Name: Return Review Program (RRP)

Current PCLIA: Yes

Approval Date: 10/6/2017

SA&A: Yes

ATO/IATO Date: 5/22/2019

System Name: Business Performance Management System (BPMS)

Current PCLIA: Yes

Approval Date: 11/6/2016

SA&A: No

System Name: EServices

Current PCLIA: Yes

Approval Date: 4/20/3018

SA&A: Yes

ATO/IATO Date: 12/5/2018

System Name: Issue Based Management Information System Redesign (IBMIS)

Current PCLIA: Yes

Approval Date: 12/22/2016

SA&A: Yes

ATO/IATO Date: 12/8/2018

*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?*

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?*

IRS notifies all individuals who file tax returns of such collection via the Privacy Act Notice in the tax return instructions. If a return is selected for Examination, Collection etc., the taxpayer is sent applicable notice, such as Privacy Act Notice and Your Appeals Rights and How to Prepare a Protest.

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

Yes

*Describe the mechanism by which individuals indicate their consent choice(s):*

Individuals may decline to provide the information, but they are subject to Internal Revenue Code (IRC) regulations regarding to the submission of the original returns. Information is collected and used for routine tax administration purposes.

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

The entire tax administration process and procedures are dictated by the Internal Revenue Manual guidelines. IRS policy allows individuals whose data is in the system the opportunity to clarify or dispute negative determinations per the adjustment and appeals process.

## 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 Write

System Administrators: Administrator

Developers: Read Write

*IRS Contractor Employees*

Contractor Users: Read Write

Contractor Managers: Read Write

Contractor System Administrators: Read Write

Contractor Developers: Read Write

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

A potential user will request access via the (Online) OL5081 system. This request has to be approved by the potential user's manager and the project's approver based on a user's position and need-to-know.

## **RECORDS 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?*

No

*You must work with the IRS Records and Information Management (RIM) Program Office to address records retention requirements before you dispose of any records in this system.*

## **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 BOE platform includes an auditing capability that tracks user activity in the system. From successful sign-on to report viewed, refreshed, or created. Each transaction is recorded in the audit tables. Nightly, the ESAT team queries the database tables to collect specific transactions identified in the BOE Platform Audit Plan. The TEV platform includes an auditing capability that tracks user activity in the system. From successful sign-on to workbook viewed, refreshed, or created. Each transaction is recorded in the audit tables.

## **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)?*

The test results are stored with other ELC artifacts on SharePoint

*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?*

Enterprise Business Intelligence Platform (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: 50,000 to 100,000

Contractors: 5,000 to 10,000

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?*

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