Date of Approval: 11/15/2024 Questionnaire Number: 1548

Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

Lead and Case Analytics

Acronym:

LCA

Business Unit

Criminal Investigation

Preparer

For Official Use Only

Subject Matter Expert

For Official Use Only

Program Manager

For Official Use Only

Designated Executive Representative

For Official Use Only

Executive Sponsor

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

LCA (Lead and Case Analytics) is an enterprise-wide, single-platform data analytic service that leverages the Palantir Gotham ("Gotham") and Foundry platforms to provide the capability for seamless research and analysis in one unified environment.

Today's sophisticated financial schemes to defraud the government demand the technology to compile disparate case data and the analytical tools to wade through complex financial records to identify fraudulent activity. Special agents and investigative analysts (IAs) in Criminal Investigation (CI) utilize the platform to find, analyze, and visualize connections between disparate sets of data to generate leads, identify schemes, uncover tax fraud, and conduct money laundering and forfeiture investigative activities. Each application is integrated seamlessly with others, allowing users to perform multi-faceted investigations without leaving the LCA platform. LCA's data integration technologies enable organizations to access all their data from a single workspace, regardless of the size of the data or format.

Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?

Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).

LCA is an enterprise-wide, single-platform data analytic service that leverages the Palantir Gotham ("Gotham") and Foundry platforms to provide the capability for seamless research and analysis in one unified environment. Today's sophisticated financial schemes to defraud the government demand the technology to compile disparate case data and the analytical tools to wade through complex financial records to identify fraudulent activity. Special agents and investigative analysts (IAs) in Criminal Investigation (CI) utilize the platform to find, analyze, and visualize connections between disparate sets of data to generate leads, identify schemes, uncover tax fraud, and conduct money laundering and forfeiture investigative activities. Each application is integrated seamlessly with others, allowing users to perform multi-faceted investigations without leaving the LCA platform. LCA's data integration technologies enable organizations to access all their data from a single workspace, regardless of the size of the data or format.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Address

Adoption Taxpayer Identification Number

Agency Sensitive Information

Criminal Investigation Information

Document Locator Number (DLN)

Email Address

Employer Identification Number

Employment Information

Federal Tax Information (FTI)

Financial Account Number

Individual Taxpayer Identification Number (ITIN)

Internet Protocol Address (IP Address)

Name

Preparer Taxpayer Identification Number (PTIN)

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

Tax ID Number

Telephone Numbers

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

Information by CI for certain money laundering cases - 18 USC

PII about individuals for Bank Secrecy Act compliance - 31 USC

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

SSN for tax returns and return information - IRC section 6109

Product Information (Questions)

1.1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?

No

1.3 What type of project is this (system, project, application, database, pilot/proof of concept, power platform/visualization tool)?

Database research tool

1.35 Is there a data dictionary for this system?

Yes

1.4 Is this a new system?

No

- 1.5 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this system?
 Yes
- 1.6 What is the PCLIA number?

PCLIA # 5791 - approved 5/26/2021 (see attachment)

1.7 What are the changes and why?

Expired PCLIA - Updated PCLIA Required

1.8 If the system is on the As-Built-Architecture, what is the ABA ID of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID for each application covered separated by a comma.

ABA # 210739

- 1.9 What OneSDLC State is the system in (Allocation, Readiness, Execution)?

 Not applicable
- 1.95 If this system has a parent system, what is the PCLIA Number of the parent system?

 Not applicable
- 2.1 If this system discloses any PII to any third party outside the IRS, 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. Enter "Yes" or "No". If Exempt, type "Exempt".

Not applicable

2.2 Please provide the full name of and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.

CIGB Criminal Investigation Governance Board

3.1 Does your project/system involve any use of artificial intelligence (AI), including virtual assistant, chat bot, and robotic process automation, as defined in Executive Order 13960?

No

3.3 Does this system use cloud computing?

No

3.6 Does this system interact with the public through a web interface?

No

3.7 Describe the business process allowing an individual to access or correct their information.

Not applicable

4.1 Who owns and operates the system (IRS Owned and Operated, IRS Owned and Contractor Operated, Contractor Owned and Operated)?

Contractor Owned and Operated

- 4.2 If a contractor owns or operates the system, does the contractor use subcontractors?
- 4.51 How many records in the system are attributable to IRS Employees? Enter "Under 50,000", "50,000 to 100,000", "More than 100,000" or "Not Applicable".

Not applicable

4.52 How many records in the system are attributable to contractors? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not Applicable".

Not applicable

4.53 How many records in the system are attributable to members of the public? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not applicable".

More than 10,000

4.54 If records are attributable to a category not mentioned above in 4.51 through 4.53, please identify the category and the number of corresponding records to the nearest 10,000. If none, enter "Not Applicable".

Not applicable

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

(LCA) analytic service is requested via Online BEARS. Access is granted on a need-to-know basis. The BEARS enrollment process requires that an authorized manager approve access requests on a case-by-case basis. Access approval is based on the Users role(s) and responsibilities.

Users are given the minimum set of privileges required to perform their regular and recurring work assignments; they are restricted from changing the boundaries

of their access without management approval. The employee's access will be terminated once they no longer require access to the Database. Deletion from the active access role is performed through BEARS.

5.1 Please describe any privacy risks, civil liberties and/or security risks identified for the system that need to be resolved and what is the mitigation plan?

Not applicable

5.11 Is there a Risk Assessment Form and Tool (RAFT) associated with this system on file with your organization or the IRS Risk Office.

No

5.2 Does this system use or plan to use SBU data in a non-production environment?

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

CIDW

Incoming/Outgoing

Incoming (Receiving)

Agency Agreement

No

Transfer Method

Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

To identify and track any unauthorized accesses to sensitive but unclassified information and potential breaches or unauthorized disclosures of such information or inappropriate use of government computers to access Internet sites for any purpose forbidden by IRS policy (e.g., gambling, playing computer games, or engaging in illegal activity), or to detect electronic communications sent using IRS systems in violation of IRS security policy.

SORN Number & Name

IRS 46.050 - Automated Information Analysis System

Describe the IRS use and relevance of this SORN.

To maintain, analyze, and process records and information that may identify patterns of financial transactions indicative of criminal and/or civil noncompliance with tax, money laundering, Bank Secrecy Act, and other financial laws and regulations delegated to CI for investigation or enforcement, and that identifies or may identify the individuals connected to such activity. To establish linkages between fraudulent transactions or other activities, and the individuals involved in such actions, that may be used to further investigate such activity and to perfect filters that identify information pertaining to such activity.

SORN Number & Name

IRS 42.021 - Compliance Programs and Projects Files

Describe the IRS use and relevance of this SORN.

To track information relating to special programs and projects to identify non-compliance schemes and to select individuals involved in such schemes for enforcement actions.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Criminal Investigation 30

What type of Records is this for?

Electronic

Please provide a brief description of the chosen GRS or RCS item.

Unscheduled - Will be reaching out to Records Management for an RCS/GRS

What is the disposition schedule?

PENDING