

Date of Approval: 12/04/2024
Questionnaire Number: 1108

Basic Information/Executive Summary

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

Self Service Reporting Analytics - Individual

Business Unit

Taxpayer Services

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.

The project is focused on iteratively modernizing Legacy 701 reports using a prioritized backlog, migrated taxpayer data, and common tools and services on the Enterprise Data Platform (EDP) and on premises. The project will provide the Business with a modernized version of their current 701 reports, as well as support them in adopting new self-service tools that will enable them to build or amend their reports in the future. The Self-Service Reporting and Analytics-Individual (SSRA-I) project will “prove out” (fulfilling requirements to full capability) the Technology (Tech) stack on EDP. The SSRA-I project will continue to prove out EDP concepts and services including data stores, integrations, analytics and business intelligence tools to generate reports throughout different releases of the project. The SSRA-I project utilizes Tableau for reporting as Tableau is installed on premises. Once the connection to Tableau is established, the data is filtered to those with permissions and granted access to see the reports for the SSRA-I project. This project is to modernize from legacy system to the cloud.

- Self-Service Reporting and Analytics - Individual (SSRA-I) is part of the IMF Retirement Acceleration Program (IMFRA). It is focused on modernizing and retiring legacy IMF 701-61 reports as well as providing self service capabilities for business users to generate their own reports. The 701-61 reports come from an Executive Program that distributes individual taxpayer data to downstream systems across the IRS and external users in the form of reports and extracts. Business users from various Business Operating Division (BODs) (e.g., Small Business/Self-Employed (SB/SE), Tax Exempt & Government Entities (TE/GE), Taxpayer Services, Research, Applied Analytics & Statistics (RAAS) rely on taxpayer data from legacy 701 to meet reporting needs (e.g., quarterly reports for the Chief Financial Office (CFO), monthly reports for Return Integrity Compliance Services (RICS), reports on taxpayers/accounts that require further review).
- This hybrid architecture integrates an On-Premises Tableau server for the front-end with Databricks on the Enterprise Data Platform (EDP) located on Amazon Web Services (AWS) Cloud, providing a secure, efficient, and customizable solution for data analytics and reporting.
- EDP is IRS owned and contractor operated.
- Tableau On-Prem is IRS owned and operated.
- Access to all business and operational data stored in the Gold Layer (Consumption Zone) is controlled and governed by referencing the NTIN Tables in the Gold Layer of Databricks in EDP. More details on NTIN (Negative Taxpayer Identification Number) data is available in EDP SDSR (Simplified Design Specification Report).

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).

SSRA-I reports use taxpayer information to create updated 701-61 reports. This data is securely stored in a system called EDP Databricks and is used to make reports accessible to IRS staff through Tableau On-Prem, a reporting tool. SSRA-I doesn't collect or own this personal data; it only uses data already provided. The information is protected with strong encryption while its stored and while its being transferred between systems. Additionally, the system has checks in place to ensure IRS employees don't access data they shouldn't, such as records involving financial conflicts of interest or personal connections.

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

Address

Employer Identification Number

Federal Tax Information (FTI)

Individual Taxpayer Identification Number (ITIN)

Name

Other

Preparer Taxpayer Identification Number (PTIN)

Social Security Number (including masked or last four digits)

Tax ID Number

Please explain the other type(s) of PII that this project uses.

Name control along with the above 9 items.

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

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)?

Project-IMF Retirement Acceleration (IMFRA Program) - Self Service Reporting Analytics Individual (SSRA-I) (Formerly IMF 701 Modernization. Using visualization tool/Tableau.

1.35 Is there a data dictionary for this system?

No

1.36 Explain in detail how PII and SBU data flow into, through and out of this system.

Data including PII is brought into EDP through Informatica Workflows to S3 buckets, then loaded into Databricks. For SSRA-I, reports in Tableau connect to EDP data via Databricks and apply NTIN filtering as part of the query. End users access the data including PII via Tableau reports.

1.4 Is this a new system?

Yes

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

1.95 If this system has a parent system, what is the PCLIA Number of the parent system?
1498

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".
No

2.2 Please provide the full name of and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.
Individual Master File (IMF) Modernization 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?
Yes

3.31 Please identify the Cloud Service Provider (CSP), FedRAMP Package ID, and date of FedRAMP authorization.
Treasury WC2 AWS Package ID FR1801046750 AGENCYWC2; ATO
05/05/2014

3.32 Does the CSP allow auditing?
Yes

3.32 Who has access to the CSP audit data (IRS or 3rd party)?
IRS

3.33 Please indicate the background check level required for the CSP (None, Low, Moderate or High).
Moderate

3.4 Is there a breach/incident plan on file?
No

3.5 Does the data physically reside in systems located in the United States and its territories and is all access and support of this system performed from within the United States and its territories?

Yes

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.

This question is not applicable because this project will not allow individuals to access or correct their information.

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

IRS Owned and Contractor Operated

4.2 If a contractor owns or operates the system, does the contractor use subcontractors?

No

4.5 Identify the roles and their access level to the PII data. For contractors, indicate whether their background investigation is complete or not.

IRS Employees and Managers / Business Unit read only access; Contractors read and write (background investigations and Live Data Waivers completed).

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".

> 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?

Access is requested via Business Entitlement Access Request System (BEARS).

Data 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. Write, Modify, Delete, and/or Print) are defined on BEARS and set (activated) by the System Administrator prior to the user being allowed access. User privileges and user roles determine the types of data that each user has access to. Management monitors system access and removes permissions when individuals no longer require access.

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?

There are no privacy risks, civil liberties and/or security risks identified for the system.

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?

No

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Databricks

Incoming/Outgoing

Both

Transfer Method

Amazon Web Services Platform (AWS)

Interface Type

IRS Systems, file, or database

Agency Name

Enterprise Data Platform (EDP)

Incoming/Outgoing

Both

Transfer Method

Amazon Web Services Platform (AWS)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

This SORN will be used to comply with the Privacy Act of 1974, ensuring transparency and accountability in handling taxpayer data for the Self-Service Reporting Analytics - Individual (SSRA-I) project.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Information Technology - 17

What is the GRS/RCS Item Number?

Unknown

What type of Records is this for?

Electronic

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

701-61 reports

What is the disposition schedule?

Pending - unscheduled - do not delete until RCS is approved

Data Locations

What type of site is this?

Tableau

What is the name of the Tableau?

On Prem Tableau

What is the sensitivity of the Tableau?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

<https://tableauprod.web.irs.gov/>

Please provide a brief description of the Tableau.

Tableau is used as a business intelligence tool for data analytics.

What are the incoming connections to this Tableau?

Databricks is used for the backend data on EDP and transmits to on prem Tableau to produce the frontend data.

What are the outgoing connections from this Tableau?

There is no outgoing connection as the data is sent to the end user as a report.