

Date of Approval: **December 13, 2021**

PIA ID Number: **6490**

SYSTEM DESCRIPTION

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

Chief Financial Office - Tableau Enterprise Visualization, CFO TEV

Is this a new system?

Yes

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

Not applicable.

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 CFO Tableau Enterprise Visualization (TEV) Server is to enable data visualization and analysis capabilities to provide timely and reliable reporting for more effective decision-making at all levels. Tableau does not store or move Sensitive But Unclassified (SBU) /Personally Identifiable Information (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 connections to Microsoft SharePoint lists. CFO Tableau Enterprise Visualization (TEV) platform supports the IRS Business Intelligence Strategy and will also enable users to increase productivity Data visualization examples include but are not limited to: use of Integrated Talent Management (ITM) and Discovery Directory data to monitor completion of mandatory briefings; use of Integrated Financial System (IFS) data to monitor staffing levels against budget and to monitor and identify outliers in social security deferrals. Concur data is used to report on mission critical travel and to analyze travel voucher accuracy. IFS and Concur data is used to monitor business units' financial performance

scorecard results. Custodial Detail Database (CDDDB) and Redesign Revenue Accounting Control System (RRACS) to analyze custodial revenue. SharePoint list data is utilized to generate reports that highlights status of CFO commitments and priority projects. This information is used to perform various analysis, reporting, and reconciliations in support of business operations, Treasury Inspector General for Tax Administration (TIGTA) requests, and the annual financial statement audit.

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).

Employee, vendor, and taxpayer data is used for unpaid tax assessment transactions. Federal agencies require in administration of their activities a system of accounts which identifies each person individually. The use of IRS employee's SSNs are permissible for personnel administration according to 5 USC & Executive Order 9397. The CFO TEV platform requires the use of Taxpayer Identification Numbers (TINs) because no other identifier can be used to uniquely identify a taxpayer at this time. The use of TINs are permissible from Internal Revenue Code (IRC) 6109, which requires individual taxpayers to include their SSNs on their income tax returns. Federal agencies require in administration of their activities a system of accounts which identifies each person individually. The use of IRS employee's SSNs are permissible for personnel administration according to 5 USC & Executive Order 9397. Therefore, the statistical and research data tools will require the use of SSNs because no other identifier can be used to uniquely identify a taxpayer at this time.

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

No mitigation at this point as the level of detail required for analysis dictates these unique identifiers. Federal agencies require in administration of their activities a system of accounts which identifies each person individually. The use of IRS employee's SSNs are permissible for personnel administration according to 5 USC & Executive Order 9397. The CFO TEV platform requires the use of SSN's because no other identifier can be used to uniquely identify a taxpayer at this time. The use of SSNs are permissible from Internal Revenue Code (IRC) 6109, which requires individual taxpayers to include their SSNs on their income tax returns.

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)
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.

Procurement sensitive data Contract proposals, bids, etc.

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.

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.

Employee travel information, including location, authorization amounts, voucher amounts.
Vendor information, including vendor name, invoice numbers, invoice amounts and payment amounts.

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.

The Tableau (server and platform) dashboard displays specific SBU/PII data as required for monitoring, analysis, or decision-making. Data visualization examples include but are not

limited to: use of Integrated Talent Management (ITM) and Discovery Directory data to monitor completion of mandatory briefings; use of Integrated Financial System (IFS) data to monitor staffing levels against budget; use of Concur data to report on mission critical travel and to analyze travel voucher accuracy; use of IFS and Concur data to monitor business units' financial performance scorecard results; use of IFS data to monitor and identify outliers in social security deferrals; and use of SharePoint list data to report on project towards completion of CFO priority projects. There is no reasonable substitute for SSN, EIN, or TIN to identify taxpayers, employees and/or vendors for this analysis.

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

The underlying systems providing SBU/PII have internal programming consistency checks and record counts and are considered 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 collected by federal and state agencies which are stored on IRS owned custodial data bases and the data is validated for accuracy by the system sending the data as described in that system's PCLIA. This data and the referrals are used 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 42.008 Audit Information Management System

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

IRS 22.054 Subsidiary Accounting Files

IRS 42.021 Compliance Programs and Projects Files

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?

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: CFO Tableau Enterprise Visualization
ISA/MOU: No

Organization Name: Government Accountability Office
Transmission Method: Images, PowerPoint, Word and/or Excel files
ISA/MOU: No

Organization Name: U.S. Treasury Inspector General for Tax Administration (TIGTA)
Transmission Method: Images, PowerPoint, Word and/or Excel files
ISA/MOU: No

Identify the authority.

26 U.S.C. 6103; 31 U.S.C. § 3515

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

Treas/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?

The information is primarily disseminated internally to conduct different types of analysis, reconciliation, research, or reporting. Mandatory reports of reconciliation of accounting/financial information may be disseminated to auditors at the Government Accountability Agency (GAO) or the U.S. Treasury Inspector General for Tax Administration (TIGTA) as required for financial or program audits.

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.

The Tableau Enterprise Visualization Server does not collect information. Instead, information is obtained from various IRS systems of record and files. Notice, consent, and due process are provided at the point of origin (such as tax forms). The IRS notifies all individuals who file tax returns of such collection via the Privacy Act Notice which provides the legal right to ask for information under Internal Revenue Code sections 6001, 6011, and 6012(a), and their regulations. Under these sections, response is mandatory. Code section 6109 requires the individual provide an identifying number. Any individual information is received from a system that provides employees with notice and rights to consent and/or amend, as needed. Notice comes through such communications as the Privacy Act notification on HR Connect and e-Performance, SETR, and other personnel systems. Employee rights are covered through appropriate legal and NTEU contractually negotiated process for remediation.

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

No

Why not?

The Tableau Enterprise Visualization Server does not collect information. Because information is obtained from various IRS systems of record and files, notice, consent, and due process are provided at the point of origin (such as tax forms). The information is collected while carrying out the Internal Revenue laws of the United States; an individual cannot decline providing the information. Employee rights are covered through appropriate legal and National Treasury Employees Union (NTEU) contractually negotiated process for remediation.

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

The Tableau Enterprise Visualization Server does not in itself provide for due process. Because information is obtained from various IRS systems of record and files, notice, consent, and due process are provided at the point of origin (such as tax forms). The system does not replace any individual taxpayer's right to due process, as dictated by the Internal Revenue Manual guidelines. IRS policy allows individual taxpayers whose data is in the system the opportunity to clarify or dispute negative determinations through the appeals process. However, due to the nature of this system, individuals may not receive specific notice that their information has been collected. Employee rights are covered through appropriate legal and National Treasury Employees Union (NTEU) contractually negotiated process for remediation.

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?

Access to the CFO Tableau server is requested via a Business Entitlement Access Request System (BEARS). Access is granted on a need-to-know basis. The BEARS enrollment process requires that an authorized manager and a secondary approver within Office of the Chief Financial Officer 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 also performed through the BEARS.

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 the 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.

Tableau is the Enterprise Architecture approved visualization and dashboarding tool for data discovery and self-service data exploration purposes at the IRS. The Tableau Server infrastructure is managed by the Business Intelligence Core Competency Center (BICCC)

within Information Technology. Tableau Server includes auditing capability that tracks user activity in the system, from successful sign-on to workbooks viewed/accessed, refreshed, or created. Each transaction is recorded in the audit tables.

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. EBIP is currently in the Operations and Maintenance phase of its lifecycle. 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: Under 50,000

Contractors: More than 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?

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.

Yes