

Date of Approval: 01/23/2024
Questionnaire Number: 1032

Basic Information/Executive Summary

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

IMF MOD EDP CADE2 Release 3.0.10

Business Unit

Information Technology

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.

Convert the seven new tables from R3.0.8 and align individual taxpayer data on EDP to filing season 2024 change and make it available for end-users. There is no new data being added with this release.

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).

The source system(s) providing the data to EDP is responsible for verifying the accuracy, timeliness, and completeness of this data. EDP provides a means to access and process data securely; EDP has established rigorous testing conducted as data from the source is copied to the platform to ensure the copy is done accurately and with completeness. This release of EDP does not include any new data transfer or ingestion. It is a release of tools only that users will use to access data already stored in EDP. Other types of PII include Protection Personal Identification Numbers (IP PIN).

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

Address
Centralized Authorization File (CAF)
Email Address
Employer Identification Number
Employment Information
Financial Account Number
Individual Taxpayer Identification Number (ITIN)
Internet Protocol Address (IP Address)
Name
Other
Social Security Number (including masked or last four digits)
Standard Employee Identifier (SEID)
Tax ID Number
Telephone Numbers

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

City
State
Name of consenting spouse
Preparer's Name
Consenting spouse's SSN
Address

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

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)?

Yes

1.2 What is the IRA Initiative Number?

PRJ0011659

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

Project

1.35 Is there a data dictionary for this system?

Yes

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

EDP provides a means to access and process data securely; EDP has established rigorous testing conducted as data from the source is copied to the platform to ensure the copy is done accurately and with completeness. This release references to existing PCLIA: 8334.

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?

8334

1.7 What are the changes and why?

PCLIA ID# 8334 was approved November 2023 for converting 1 table to 3 tables; in this release we are requesting to convert 3 tables to 7 tables; as a tenant of the EDP Platform, we are requesting this PCLIA to incorporate Filing Season 2024 changes.

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.

211416

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?

8334

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".

EDP is not disclosing any PII to any third party outside the IRS.

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

Enterprise Services Governance Board (ESGB) and Infrastructure Executive Steering Committee (IESC)

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.

WC2 Treasury AWS Cloud, authorized 6/21/2016.

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

High

3.4 Is there a breach/incident plan on file?

Yes

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

3.61 If the system requires the user to authenticate, was a Digital Identity Risk Assessment (DIRA) conducted?

No

3.64 If the individual was not notified of the following items prior to the collection of information, why not? 1) Authority to collect the information 2) If the collection is mandatory or voluntary 3) The purpose for which their information will be used 4) Who the information will be shared with 5) The effects, if any, if they don't provide the requested information.

Not applicable. These aspects are covered by the source system providing the data to EDP/AAP.

3.65 If information is collected from third-party sources instead of the individual, please explain your decision.

Not applicable

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

These are handled by the source systems which are the systems of record for the specific data. EDP/AAP receives the information from the source system. To the extent that the source system ensures "due process" regarding information access, correction and redress, AAP as the receiver of the data from these source systems is automatically compliant.

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

IRS Owned and 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.

Role-based access to the SBU/PII will be determined and implemented by the project. Roles will be determined and granted to approved developers/users based on need. All contractors and employees must go through the Public Trust Clearance process before access is considered. Once cleared, an IRS employee or contractor must complete the proper request forms before access to EDP WC2 is obtained. All access must be approved, via the Business Entitlement Access Request System (BEARS) system, by the user's manager who reviews the access request at the time of submission and on an annual basis to verify the position request and if the user has a need-to-know. The system administrators/approvers will also verify group membership to ensure system rights are limited based on the employee or contractor's need-to-know to perform their official duties. For access to an environment where a new or modified system is being tested (i.e., a non-production supporting environment) users must complete the necessary SBU data training, complete an access request form, and in some cases as outlined by the requirements set forth within the Internal Revenue Manual (IRM), submit an

elevated access letter that is approved by the Associate Chief Information Officer prior to granting access.

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".

5,000 to 10,000

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".

5,000 to 10,000

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?

Role-based access to the SBU/PII will be determined and implemented by the project. Roles will be determined and granted to approved developers/users based on need. All contractors and employees must go through the Public Trust Clearance process before access is considered. Once cleared, an IRS employee or contractor must complete the proper request forms before access to EDP WC2 is obtained. All access must be approved, via the Business Entitlement Access Request System (BEARS) system, by the user's manager who reviews the access request at the time of submission and on an annual basis to verify the position request and if the user has a need-to-know. The system administrators/approvers will also verify group membership to ensure system rights are limited based on the employee or contractor's need-to-know to perform their official duties. For access to an environment where a new or modified system is being tested (i.e., a non-production supporting environment) users must complete the necessary SBU data training, complete an access request form, and in some cases as outlined by the requirements set forth within the Internal Revenue Manual (IRM), submit an elevated access letter that is approved by the Associate Chief Information Officer prior to granting 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?

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?

Yes

5.3 Please upload the approved SBU Data Use Questionnaire or Request. If the request has been recertified, please upload the approved recertification form. Select Yes to indicate that you will upload the SBU Data Use form.

Yes

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Redesign Revenue Accounting Control System

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Amazon Web Services Platform (AWS)

Interface Type

IRS Systems, file, or database

Agency Name

Secure Access Digital Identity

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Amazon Web Services Platform (AWS)

Interface Type

IRS Systems, file, or database

Agency Name

CADE 2 Marketplace

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Amazon Web Services Platform (AWS)

Interface Type

IRS Systems, file, or database

Agency Name

Web Applications Platform Environments

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Amazon Web Services Platform (AWS)

Interface Type

IRS Systems, file, or database

Agency Name

Financial Management Information System

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Amazon Web Services Platform (AWS)

Interface Type

IRS Systems, file, or database

Agency Name

Standardized IDRS Access

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Amazon Web Services Platform (AWS)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.
As described in 8334

SORN Number & Name

Treasury .009 - Treasury Financial Management Systems

Describe the IRS use and relevance of this SORN.
As described in 8334

SORN Number & Name

IRS 22.061 - Information Return Master File

Describe the IRS use and relevance of this SORN.
As described in 8334

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master
File

Describe the IRS use and relevance of this SORN.
As described in 8334

SORN Number & Name

IRS 26.019 - Taxpayer Delinquent Account Files

Describe the IRS use and relevance of this SORN.
As described in 8334

SORN Number & Name

IRS 22.062 - Electronic Filing Records

Describe the IRS use and relevance of this SORN.
As described in 8334

SORN Number & Name

IRS 26.020 - Taxpayer Delinquency Investigation Files

Describe the IRS use and relevance of this SORN.
As described in 8334

SORN Number & Name

IRS 37.006 - Correspondence, Miscellaneous Records, and
Information Management Records

Describe the IRS use and relevance of this SORN.
As described in 8334

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control
Files

Describe the IRS use and relevance of this SORN.
As described in 8334

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.
As described in 8334

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

RCS

What is the GRS/RCS Item Number?

Not Applicable

What type of Records is this for?

Electronic

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

All data meeting end of retention period requirements will be eliminated, overwritten, degaussed, and/or destroyed in accordance with National Archives and Records Administration (NARA)-approved disposition authorities for that process or system's data and done so in the most appropriate method based upon the type of storage media used in accordance with IRM 1.15.6.10.

What is the disposition schedule?

Not Applicable

Data Locations

What type of site is this?

Environment

What is the name of the Environment?

IRS EDP Data Platform in WC2 AWS Treasury Cloud
Environment

What is the sensitivity of the Environment?

Sensitive But Unclassified (SBU)

Please provide a brief description of the Environment.

Workplace Community Cloud (WC2) hosts the Enterprise Data Platform that is leveraged for data integration, access, and management of the environment to empower the business users so

that they can securely access the integrated tax administration data for analytical and operational use.

What are the incoming connections to this Environment?

Informatica AWS S3 Connector

What are the outgoing connections from this Environment?

Consumer Cluster / APIs to access Gold Layer