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**A. SYSTEM DESCRIPTION**

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1. Enter the full name and acronym for the system, project, application and/or database. Integrated Production Model (Greenplum), IPM R10.0-IPM

2. Is this a new system? No

2a. If **no**, is there a PIA for this system? Yes

If **yes**, enter the full name, acronym, PIA ID Number and milestone of the most recent PIA.

Integrated Production Model (Greenplum), IPM R9.0, 1608

Next, enter the **date** of the most recent PIA. 3/9/2016

Indicate which of the following changes occurred to require this update (check all that apply).

- No Addition of PII
- No Conversions
- No Anonymous to Non-Anonymous
- Yes Significant System Management Changes
- Yes Significant Merging with Another System
- No New Access by IRS employees or Members of the Public
- No Addition of Commercial Data / Sources
- No New Interagency Use
- No Internal Flow or Collection

Were there other system changes not listed above? Yes

If yes, explain what changes were made. The inclusion of the CADE2 Operational Data Store (ODS) onto the GreenPlum device will be leveraged by IPM. Security change request have been submitted and reviewed for this inclusion.

3. Check the current ELC (Enterprise Life Cycle) Milestones (select all that apply)

- No Vision & Strategy/Milestone 0
- No Project Initiation/Milestone 1
- No Domain Architecture/Milestone 2
- No Preliminary Design/Milestone 3
- No Detailed Design/Milestone 4A
- No System Development/Milestone 4B
- No System Deployment/Milestone 5
- Yes Operations & Maintenance (i.e., system is currently operational)

4. Is this a Federal Information Security Management Act (FISMA) reportable system? No

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**A.1 General Business Purpose**

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5. 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. Integrated Production Model (IPM) is a common, read-only data store (database) containing core IRS data (e.g., tax accounts, tax returns, and information returns) needed by a wide range of Tier B modernization projects to support case identification, selection, prioritization and delivery, compliance analysis and decision analytics. The purpose of the IPM is to provide one central relational database, populated with current and

historical data from a wide variety of data sources. These include, but will not be limited to, Business Master File Database (BMF-DB2), Business Master File (BMF), Business Return Transaction File (BRTF), Combined Annual Wage Reporting (CAWR), Compliance Data Environment (CDE), Data Master – 1 (DM-1), Employee Plan Master File (EPMF-DB2), Information Returns Master File (IRMF), Payer Master File (PMF), Individual Master File (IMF), Individual Return Transaction File (IRTF), Audit Information Management System-Reference (AIMS-R), Aggregated Information Returns (AIR), Employment Tax Examination Program (ETEP), Monies Summary SCRS 1120, 1120S & 1065, Research Earned Income Credit Extract (R-EIC), SS8 Integrated Case Processing (SS8ICP), Mapping Data, Census Bureau, Allowable Living Expenses, Employment Tax Schedule R, Employment Tax Schedule R, and Withholding Compliance (WHC). IPM R10.0 consists of new schema called the CADE 2 Operational Data Store (ODS). The CADE 2 ODS contains live taxpayer data, including PII, in all the Development, Test, and Production environments. IPM will continue to ingest data from existing weekly. There are no new sources for ingest in this release. This release is O&M. IPM will ingest data from CADE2. CADE2 ODS (Operational Data Store) will ingest CADE2 data. The ODS and IPM reside on the same boundary within the BDA GreenPlum Device, but do not share data. When ODS is fully functional (FY2017) IPM will stop ingesting IMF source data at that point IPM downstream clients will get their IMF data from CADE2 ODS.

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## B. PII DETAIL

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6. Does the system use, collect, receive, display, store, maintain, or disseminate IR Code 6103 taxpayer information; or any type of Sensitive but Unclassified (SBU) or Personally Identifiable Information (PII)? Yes

6a. If **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

If **yes**, check who the SSN (or tax identification number) is collected on.

Yes    On Primary            Yes    On Spouse            Yes    On Dependent

If **yes**, check all types SSN s (or tax identification numbers) that apply to this system:

Yes            Social Security Number (SSN)  
Yes            Employer Identification Number (EIN)  
Yes            Individual Taxpayer Identification Number (ITIN)  
Yes            Taxpayer Identification Number for Pending U.S. Adoptions (ATIN)  
Yes            Practitioner Tax Identification Number (PTIN)

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 memorandum M-07-16 requires that federal agencies develop a mitigation or elimination strategy for systems that use SSNs. An exception to that requirement is when the SSN is uniquely needed to identify a user's record. The IPM Greenplum system requires the use of SSN's because no other identifier can be used to uniquely identify a taxpayer. SSNs are permissible from Internal Revenue Code (IRC) 6109, which requires individual taxpayers to include their SSNs on their income tax returns.

6b. Does this system contain other (non-SSN) PII that it uses, collects, receives, displays, stores, maintains, or disseminates? (i.e. Names, addresses, etc.) Yes

If **yes**, specify the information.

<u>Selected</u>	<u>PII Element</u>	<u>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>
Yes	Name	Yes	Yes	Yes
Yes	Mailing address	No	No	No
Yes	Phone Numbers	No	No	No
No	E-mail Address	No	No	No
Yes	Date of Birth	Yes	Yes	Yes
No	Place of Birth	No	No	No
No	SEID	No	No	No
No	Mother's Maiden Name	No	No	No
Yes	Protection Personal Identification Numbers (IP PIN)	No	No	No
No	Internet Protocol Address (IP Address)	No	No	No
No	Criminal History	No	No	No
No	Medical Information	No	No	No
No	Certificate or License Numbers	No	No	No
No	Vehicle Identifiers	No	No	No
No	Passport Number	No	No	No
No	Alien (A-) Number	No	No	No
Yes	Financial Account Numbers	No	No	No
No	Photographic Identifiers	No	No	No
No	Biometric Identifiers	No	No	No
No	Employment (HR) Information	No	No	No
Yes	Tax Account Information	Yes	Yes	Yes

6c. Does this system contain SBU information that is not PII, it uses, collects, receives, displays, stores, maintains, or disseminates? Yes

If **yes**, select the types of SBU

<u>Selected</u>	<u>SBU Name</u>	<u>SBU Description</u>
Yes	Agency Sensitive Information	Information which if improperly used or disclosed could adversely affect the ability of the agency to accomplish its mission
No	Procurement sensitive data	Contract proposals, bids, etc.
No	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.
No	Proprietary data	Business information that does not belong to the IRS
Yes	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
No	Physical Security Information	Security information containing details of serious weaknesses and vulnerabilities associated with specific systems and facilities
No	Criminal Investigation Information	Information concerning IRS criminal investigations or the agents conducting the investigations.

6d. Are there other types of SBU/PII used in the system? No

6e. Cite the authority for collecting SBU/PII (including SSN if relevant)

Yes PII for federal tax administration is generally Internal Revenue Code Sections 6001, 6011, 6012e(a)

Yes SSN for tax returns and return information is Internal Revenue Code Section 6109

No SSN for personnel administration (IRS Employees) is 5 USC & Executive Order 9397

No PII for personnel administration is 5 USC

No PII about individuals for Bank Secrecy Act compliance 31 USC

No Information by CI for certain money laundering cases may be 18 USC

6f. Has the authority been verified with the system owner? Yes

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## **B.1 BUSINESS NEEDS AND ACCURACY**

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7. 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. IPM is a common, read-only data store loaded onto the Big Data Analytics (BDA) General Support System (GSS) infrastructure, containing core IRS data (e.g., tax accounts, tax returns, and information returns). The IPM database will be utilized by a wide range of pre-approved IPM client-project applications to support case identification, selection, prioritization and delivery, compliance analysis and decision analytics. IPM provides a centralized database, populated with current and historical return data from a variety of data sources. As a result of the analysis, case workloads are selected, notices may be generated, or transactions may be required to post back to the individual's tax account. IPM client-project applications performing analysis, and receiving data downloaded from the IPM BDA Greenplum database, use the taxpayer SSN as a major search and account matching key.

8. How is the SBU/PII verified for accuracy, timeliness, and completeness? Explain how steps are taken to ensure that all information maintained by the system that is used by IRS to make any adverse determination about an individual's rights, benefits, and/or privileges is maintained with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination. The data elements of each table in the IPM Greenplum database are loaded from the data source. The data is regarded as accurate when received. Timeliness and completeness are verified through a table on IPM which documents the date and time when data loads are completed. The IPM project and IPM client-project developers perform Unit Testing on the IPM Greenplum Development database. IT Applications Development Enterprise System Testing (EST) owns the IPM Test & Final Integration Test (FIT) databases on the BDA-GSS infrastructure, and are responsible for access control and audit logging. IT AD EST performs both System Acceptance Test (SAT) and FIT testing of the IPM database.

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## **C. PRIVACY ACT AND SYSTEM OF RECORDS**

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9. Are 10 or more records containing SBU/PII maintained, stored, and/or transmitted by or through this system? Yes

9a. If **yes**, are records in the system retrieved by any personal identifier (e.g., name, SSN, Photograph, IP Address) for an individual? Yes

If **yes**, is there a System of Records Notice(s) or SORNs that addresses the PII records in this system? Yes

If **yes**, enter the SORN number(s) and the complete the name of the SORN.

<u>SORNS Number</u>	<u>SORNS Name</u>
Treas/IRS 42.021	Compliance Programs and Projects Files
Treas/IRS 34.037	Audit Trail and Security Records System
Treas/IRS 24.030	CADE Individual Master File (IMF)—Treasury/IRS
Treas/IRS 24.046	CADE Business Master File (BMF)—Treasury/IRS

If **yes**, does the System of Records Notice(s) (SORN) published in the Federal Register adequately describe the records as required by the Privacy Act? Yes

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#### D. RESPONSIBLE PARTIES

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10. Identify the individuals for the following system roles. ## Official Use Only

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#### E. INCOMING PII INTERFACES

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11. Does the system receive SBU/PII from other system or agencies? Yes

11a. If **yes**, does the system receive SBU/PII from IRS files and databases? Yes

If **yes**, enter the files and databases.

<u>System Name</u>	<u>Current PIA?</u>	<u>PIA Approval Date</u>	<u>SA &amp; A?</u>	<u>Authorization Date</u>
SS8ICP	Yes	11/07/2014	Yes	01/17/2017
WITHHOLDING COMPLIANCE	Yes	04/24/2015	No	01/17/2017
ETEP	No		No	01/17/2017
BMF-DB2	Yes	04/24/2015	No	01/17/2017
CDE	Yes	03/23/2016	Yes	03/29/2017
PMF	Yes	03/09/2017	Yes	12/04/2015
CAWR	Yes	02/19/2016	Yes	06/06/2017
AIMS-R	Yes	12/15/2015	Yes	08/09/2016
ALLOWABLE LIVING EXPENSE	No		No	08/09/2016
AIR	Yes	10/17/2016	No	08/09/2016
ACA-CDR	Yes	08/18/2015	Yes	02/27/2014
CP2100	No		No	02/27/2014
SCHEDULE R	No		No	02/27/2014
DUPTIN	No		No	02/27/2014
IRDB	Yes	01/13/2016	Yes	05/09/2017
CTW	Yes	10/23/2017	Yes	02/17/2017
BRTF	No		No	02/17/2017
DM-1	No		No	02/17/2017
IMF	Yes	03/06/2017	Yes	11/14/2016
IRMF	No		No	11/14/2016
IRTF	No		No	11/14/2016
CENSUS NAICS	No		No	11/14/2016
EPMF	Yes	12/15/2015	No	11/14/2016
REIC	No		No	11/14/2016
ZIP-POD	No		No	11/14/2016

11b. Does the system receive SBU/PII from other federal agency or agencies? Yes

If **yes**, for each federal interface, identify the organization that sends the SBU/PII, how the SBU/PII is transmitted and if there is an Inter-Agency Agreement (ISA)/Memorandum of Understanding (MOU).

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
Social Security Administration	SSA Data Master-1	No
United States Postal Service	ZIP POD	No

11c. Does the system receive SBU/PII from State or local agency(s)? No

11d. Does the system receive SBU/PII from other sources? No

11e. Does the system receive SBU/PII from **Taxpayer** forms? Yes

If **yes**, identify the forms

<u>Form Number</u>	<u>Form Name</u>
1040	U.S. Individual Income Tax Return
940	Employer's Annual Federal Unemployment (FUTA) Tax Return
941	Employer's Quarterly Federal Tax Return
1120	U.S. Corporate Tax Return
1120S	U.S. Income Tax Return for an S Corporation
1065	U.S. Return of Partnership Income
706	U.S. Estate Tax Return
2141	Child and Dependent Care Expenses
5329	Additional Taxes on Qualified Plans (including IRAs) and other Tax Favored Accounts

11f. Does the system receive SBU/PII from **Employee** forms (such as the I-9)? No

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## **F. PII SENT TO EXTERNAL ORGANIZATIONS**

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12. Does this system disseminate SBU/PII? Yes

12a. Does this system disseminate SBU/PII to other IRS Systems? Yes

If **yes**, identify the full name and acronym of the IRS system(s) that receive SBU/PII from this system.

<u>System Name</u>	<u>Current PIA?</u>	<u>PIA Approval Date</u>	<u>SA &amp; A?</u>	<u>Authorization Date</u>
Enterprise Informatica Platform (EIP)	No		Yes	05/21/2015
Business Objects Enterprise (BOE)	No		Yes	06/10/2015

Identify the authority and for what purpose? IPM is a common, read-only data store (database) containing core IRS data (e.g., tax accounts, tax returns, and information returns) needed by a wide range of Tier B modernization projects to support case identification, selection, prioritization and delivery, compliance analysis and decision analytics. The purpose of the IPM is to provide one central relational database, populated with current and historical data from a wide variety of data sources. Client connections to IPM submit as a change request (CR). These client access requests are first pre-screened by Data Strategy Implementation (DSI), which may include meetings with the potential clients and informal discussions with the IPM team.

12b. Does this system disseminate SBU/PII to other Federal agencies? No

12c. Does this system disseminate SBU/PII to State and local agencies? No

12d. Does this system disseminate SBU/PII to IRS or Treasury contractors? No

12e. Does this system disseminate SBU/PII to other Sources? No

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## G. PRIVACY SENSITIVE TECHNOLOGY

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13. Does this system use social media channels? No

14. Does this system use privacy-sensitive technologies such as mobile, global position system (GPS), biometrics, RFID, etc.? No

15. Does the system use cloud computing? No

16. Does this system/application interact with the public? No

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## H. INDIVIDUAL NOTICE AND CONSENT

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17. Was/is notice provided to the individual prior to collection of information? Yes

17a. If **yes**, how is notice provided? Was the individual notified about the authority to collect the information, whether such is mandatory or voluntary, the purpose for which the information will be used, with whom the information may be shared, and the effects, if any, if they decide not to provide any of the requested information? This system does not collect any information directly from taxpayers. All information that is stored in IPM comes from the submission of tax returns submitted directly to the IRS through other internal IRS systems. Information from the tax returns is subsequently shared from the other internal applications to this system. The Tax return form provides taxpayers information regarding the opportunity to decline or consent to providing the information.

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

18a. If **yes**, describe the mechanism by which individuals indicate their consent choice(s): As previously indicated other internal IRS systems provide all data to IPM. Specifically, information from tax returns existing in other internal systems is subsequently shared by those systems and then ingested by IPM. The Tax return form provides taxpayers information regarding the opportunity to decline or consent to providing the information.

19. How does the system or business process ensure due process regarding information access, correction and redress? The system will allow affective parties the opportunity to clarify or dispute negative information that could be used against them. Due process is provided pursuant to 5 USC.

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## I. INFORMATION PROTECTION

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20. 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

21. The following people have access to the system with the specified rights:

IRS Employees? <u>Yes</u>		
<u>IRS Employees?</u>	Yes/No	Access Level(Read Only/Read Write/ Administrator)
Users	No	
Managers	Yes	Read-Only
Sys. Administrators	Yes	Read and Write
Developers	Yes	Read And Write

Contractor Employees? <u>Yes</u>			
<u>Contractor Employees?</u>	Yes/No	Access Level	Background Invest. Level
Contractor Users	No		
Contractor Managers	No		
Contractor Sys. Admin.	Yes	Read and Write	High
Contractor Developers	Yes	Read and Write	High

21a. How is access to SBU/PII determined and by whom? Anyone with a managerial approved Business need, with a current approved Live Data Waiver and managerial approved Online 5081 can be granted access by BDA to the PII data on the IPM Development database. IPM Production access to PII data is limited to the IPM Database Administrators (read/write) and approved IPM client-applications (read only). It is the responsibility of the IPM client-application Project Manager and DBA to keep the "Application System Account Credentials" secure.

21b. If computer matching occurs, can the business owner certify that it meets requirements of IRM 11.3.39 Disclosure of Official Information, Computer Matching & Privacy Protection Act?

Not Applicable

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## **I.1 RECORDS RETENTION SCHEDULE**

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22. Are these records covered under the General Records Schedule (GRS), or have a National Archives and Records Administration (NARA) archivist approved a Record Control Schedule (RCS) for the retention and destruction of official agency records stored in this system? Yes

22a. If **yes**, how long are the records required to be held under the corresponding RCS and how are they disposed of? In your response, please include the complete IRM number 1.15.XX and specific item number and title. The IPM Greenplum database, stored on the BDA-GSS infrastructure, provides a single point of access to core taxpayer data (such as taxpayer accounts and tax returns) and other data derived from authoritative systems used by a wide range of IRS internal business applications to support case identification, selection, prioritization and research, compliance analysis, and the ability to identify trends and implement measures to address non-compliance. It is not the authoritative data source for data and documents and does not require National Archives and Records Administration (NARA) to effect data disposition. Data loaded into IPM Greenplum database from the various data sources listed in this questionnaire will be updated with current information from weekly, monthly or annual loads. Official records used for case selection to address non-compliance are disposed of in accordance with Records Control Schedule 23 for Examination. Records associated with tax processing functions at the Campuses are disposed of in accordance with Records Control Schedule 29 for Tax Administration - Wage and Investment Records.



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## I.2 SA&A OR ECM-R

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23. Has the system been through SA&A (Security Assessment and Authorization) or ECM-R (Enterprise Continuous Monitoring Reauthorization)? Yes

23a. If **yes**, what date was it completed? 4/1/2015

23.1 Describe in detail the system's audit trail. The IPM Project Greenplum database is reliant upon the IT SE Enterprise Informatica Platform (EIP) and Big Data Analytics (BDA) Projects to protect IPM's PII data loaded onto the BDA-GSS infrastructure. IPM Greenplum database Access Control and Audit Trails are the responsibility of the IT SE EIP & BDA Projects. IPM Oracle servers (used for data staging) Access Control and Audit Trails are the responsibility of MITS-24-GSS.

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## J. PRIVACY TESTING

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24. Does the system require a System Test Plan? Yes

24b. If **yes**, is the test plan in process or completed: Completed

24.3 If **completed/ or in process**, 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? The testing is conducted per the test plan and the Requirements Traceability Verification Matrix (RTVM) documents validation of requirements.

24b.1. If **completed**, where are the test results stored (or documentation that validation has occurred confirming that requirements have been met)? It is stored on a controlled internal system called DocIT.

24b.2. If **completed**, were all the Privacy Requirements successfully tested? Yes

24.2 If **completed**, are there any residual system privacy, civil liberties, and/or security risks identified that need to be resolved? No

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## K. SBU Data Use

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25. Does this system use, or plan to use SBU Data in Testing? Yes

25a. If **yes**, was permission granted per the requirements of Form 14664, SBU Data Use Questionnaire or Form 14665, SBU Data Use Request? No

If **no**, explain why not. IPM 10.0 is in the process of receiving the BDA - GSS Authorizing Official (AO) signature of SBU Data Use Questionnaire or Form 14665, SBU Data Use Request. Once the BDA - GSS (AO) has signed the questionnaire, the PCLIA will then be updated in conjunction with future releases of IPM.

25b. If **yes**, was testing performed in conformance with IRM 10.5.8, Sensitive But Unclassified (SBU) Data Policy: Protecting SBU in Non-Production Environments?

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## L. NUMBER AND CATEGORY OF PII RECORDS

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26. Identify the number of individual records in the system for each category:

26a. IRS Employees: Not Applicable  
26b. Contractors: Not Applicable  
26c. Members of the Public: More than 1,000,000  
26d. Other: No

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#### **M. CIVIL LIBERTIES**

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27. Does the system maintain any information describing how any individual exercises their rights guaranteed by the First Amendment? No

28. Is the system information used to conduct data-mining as defined in the *Implementing the 9/11 Commission Recommendations Act of 2007, Public Law 110-53, Section 804*? No

29. Will this system have the capability to identify, locate, and monitor individuals or groups of people? No

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#### **N. ACCOUNTING OF DISCLOSURES**

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30. 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

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**End of Report**

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