

Date of Approval: **September 22, 2023**

PIA ID Number: **8000**

SYSTEM DESCRIPTION

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

IRWorks, IRWorks

Is this a new system?

No

Is there a PCLIA for this system?

Yes

What is the full name, acronym, and milestone of the most recent PCLIA?

Internal Revenue Workflow Optimization, IRWorks PIA ID# 6612, Milestone 4b

What is the approval date of the most recent PCLIA?

3/4/2022

Changes that occurred to require this update:

Addition of Personally Identifiable Information (PII)

Were there other system changes not listed above?

No

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

Information Technology Enterprise (ITE) Executive Steering Committee

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?

Yes

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.

This PCLIA covers the Internal Revenue Service (IRS) ServiceNow Instance. ServiceNow is a cloud hosted Software as a Service (SaaS) solution that can help meet critical enterprise business and operational missions. ServiceNow is a suite of unified applications designed to support service automation, resource management and shared support services, including Information Technology, Human Resources, Facilities, Business Management, Legal, Procurement, Workplace. ServiceNow is designed for enterprise operational automation support, like processes, tasks, change management, and other day-to-day tasks for the employee and/or specialist. ServiceNow is a highly configurable environment that gives IRS the ability to design and implement applications as part of the suite of products offered. ServiceNow is a modular solution, meaning that IRS could use all, or a subset of the applications provided by ServiceNow. A ServiceNow SaaS application is a group of modules, or pages, that provide related information and functionality branches. The current module deployed in the IRS ServiceNow instance is Information Technology (IT) Service Management. Under the program's Release II and III, the following modules will be deployed: IT Operations Management, IT Asset Management, Customer Service Management, Workplace Service Delivery, Procurement Operations Management, Strategic Portfolio Management, Integrated Risk Management, Application Engine, and Governance, Risk & Compliance. The IRS ServiceNow instance will replace legacy systems and host in one platform. The primary change is the addition of PII to the system. Specifically in Release II, an IT help desk function that is currently hosted by a MicroFocus Server Manager application will now be hosted by the Customer Service Module under IRWorks. It's a tool where external customers (e.g., third party tax filing businesses like H&R Block) can seek IT help for electronic tax filings. This tool only provides assistance troubleshooting or reporting issues with electronic filing, it doesn't execute the filings. This module will have access to business EINs.

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:

Interfaces with external entities that require the SSN

Legal/statutory basis (e.g., where collection is expressly required by statute)

When there is no reasonable alternative means for meeting business requirements

Delivery of governmental benefits, privileges, and services

Explain why the authorized use(s) above support the new or continued use of SSNs (or tax identification numbers).

SSN is required for federal Standard Forms (SF) to process and complete Human Resources transactions.

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

Mask all but the last 4 numbers of the SSN. Access to this information will be constrained by security roles and permissions. Additionally, we can hide this information from viewing on the forms.

Employer 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)

Mother's Maiden Name

Internet Protocol Address (IP Address)

Criminal History

Medical Information

Certificate or License Numbers

Vehicle Identifiers

Passport Number

Alien Number

Financial Account Numbers

Photographic Identifiers
Biometric Identifiers
Employment 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:

Procurement Sensitive Data - Contract proposals, bids, etc.

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.

Criminal Investigation Information - Information concerning IRS criminal investigations or the agents conducting the investigations.

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.

Personnel Type Capstone Employee Returning Employee Position Title Pay Plan Grade Step Clearance Level Organization Program Office Sub-Office Funding String Office Contact Timekeeper Supervisor Start Date Service Computation Date, Retirement Code, Retirement Title, Manager First Name, Manager Middle Name, Manager Last Name, Manager Suffix, pay series, pay step, Manager Contact Information, Birth City, Date of Birth, Home Address, Citizenship Status, SSN

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

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.

SBU - Server information is stored to provide asset registration and certification for configuration management, change, problem, knowledge, and incident management. PII - Employee names, phone numbers, SEID and building location is required for request, change, incident, and triage of service issues.

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

Data is pulled through data sources and documented processes currently used by KISAM (Knowledge, Incident/Problem, Service Asset Management).

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 36.003 General Personnel and Payroll Records

IRS 37.111 Preparer Tax Identification Number Records

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?

Yes

Does the system receive SBU/PII from IRS files and databases?

Yes

Enter the files and databases:

System Name: PPS (IFS)
Current PCLIA: Yes
Approval Date: 1/11/2023
SA&A: Yes
ATO/IATO Date: 5/11/2021

System Name: Rest API
Current PCLIA: No
SA&A: Yes
ATO/IATO Date: 5/22/2023

System Name: ESAM
Current PCLIA: No
SA&A: Yes
ATO/IATO Date: 6/12/2023

System Name: Personal Identity Verification Data Synchronization (PDS)
Current PCLIA: No
SA&A: No

System Name: WTMS
Current PCLIA: No
SA&A: Yes
ATO/IATO Date: 12/1/2022

System Name: Business Objects
Current PCLIA: No
SA&A: Yes
ATO/IATO Date: 3/8/2023

System Name: KISAM 1
Current PCLIA: Yes
Approval Date: 12/10/2020
SA&A: Yes
ATO/IATO Date: 8/23/2022

System Name: Graphics Database Interface (GDI)
Current PCLIA: Yes
Approval Date: 4/26/2020
SA&A: Yes
ATO/IATO Date: 5/3/2023

System Name: PUMAS
Current PCLIA: Yes
Approval Date: 8/3/2023
SA&A: Yes
ATO/IATO Date: 1/13/2021

Does the system receive SBU/PII from other federal agency or agencies?

No

Does the system receive SBU/PII from State or local agency (-ies)?

No

Does the system receive SBU/PII from other sources?

No

Does the system receive SBU/PII from Taxpayer forms?

No

Does the system receive SBU/PII from Employee forms (e.g., the I-9)?

No

DISSEMINATION OF PII

Does this system disseminate SBU/PII?

Yes

Does this system disseminate SBU/PII to other IRS Systems?

Yes

Identify the full name and acronym of the IRS system(s) that receive SBU/PII from this system.

System Name: WTMS
Current PCLIA: No
SA&A: Yes
ATO/IATO Date: 5/9/2022

System Name: OBM
Current PCLIA: No
SA&A: Yes
ATO/IATO Date: 12/1/2022

System Name: WRMS
Current PCLIA: Yes
Approval Date: 3/15/2021
SA&A: Yes
ATO/IATO Date: 9/1/2022

Identify the authority.

RC 6103(h)

For what purpose?

IT and Non IT workflow - ticket submission

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?

No

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?

Yes

Is the cloud service provider (CSP) Federal Risk and Authorization Management Program (FedRAMP) certified?

Yes

Date Certified.

8/12/2019

Please identify the ownership of the CSP data.

Third Party

Does the CSP allow auditing?

Yes

Who audits the CSP Data?

3rd Party

What is the background check level required for CSP?

High

Is there a breach/incident plan on file?

Yes

Privacy laws (including access and ownership) can differ in other countries. This cloud will be Continental US (CONUS) only for:

Storage
Transmission
Maintenance

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?

Yes

How is notice provided? Was the individual notified about the authority to collect the information, whether disclosure is mandatory or voluntary, the purpose for which the information will be used, with whom the information may be shared, and the effects on the individual, if any, if they decide not to provide all or any of the requested information?

This information is required to process personnel actions. ServiceNow is the primary interface for employees. WARNING WARNING WARNING You have accessed a U.S. Government information system, which includes (1) this computer, (2) this network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. U.S. Government information systems are provided for the processing of official U.S. Government information only. Unauthorized or improper use of this information system is prohibited and may subject you to disciplinary action, as well as civil and criminal penalties. All data contained on U.S. Government information systems is owned by the U.S. Government and may, for the purpose of protecting the rights and property of the U.S. Government, be monitored, intercepted, recorded, read, searched, copied, or captured in any manner and disclosed or used for any lawful government purpose at any time. THERE IS NO RIGHT TO PRIVACY IN THIS SYSTEM. System personnel may give to law enforcement officials any potential evidence of crime found on U.S. Government information systems. USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES YOUR UNDERSTANDING AND CONSENT TO THIS MONITORING, INTERCEPTION, RECORDING, READING, COPYING, OR CAPTURING AND DISCLOSURE.

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

No

Why not?

Consent can be declined by not accessing the web portal.

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

Security roles, personas, and permissions to gate unauthorized access. Periodic audits to ensure only necessary personnel have access. Redress: The Treasury FOIA and PA disclosure regulations can be found at 31 C.F.R. Part 1, Subtitle A, Subparts A and C. If audit logs indicate cause for concern of improper use of Treasury/ServiceNow General Support System, users are allowed to explain their system usage before any action is taken,

as per Treasury policy. Documented in ServiceNow System Security Plan (SSP), as well. None of the records in this system of records are exempt from the Privacy Act access requirements.

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 Contractor Operated

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

IRS Employees

Users: Read Write

Managers: Read Write

System Administrators: Administrator

Developers: Administrator

IRS Contractor Employees

Contractor Users: Read Write

Contractor Managers: Read Write

Contractor System Administrators: Administrator

Contractor Developers: Administrator

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

Work is controlled and recorded in ServiceNow, and Access levels managed by Business Entitlement Access Request System (BEARS) In support of Identity and Access Management Team in Cybersecurity.

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.

Records can be referenced under GRS 3.1, Item 020; also 3 year scheduled retention. Information technology operations and maintenance records. GRS 5.8 Item 010-Technical and administrative help desk operational records. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. GRS 6.5, item 010 - Public Customer Service operations records: Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

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?

11/16/2022

Describe the system's audit trail.

The ServiceNow Platform provides a complete audit trail of customer instance activities including all administrator activity, authentication checks, authorization checks, data deletions, data access, data changes, and permission changes. The Now Platform grants each customer the ability to perform routine audit reviews in the form of customized reports. Audit details captured within the Now Platform are retained within the customer instance database and are considered part of the data set controlled and maintained by the customer. IRS project team is responsible for configuring their ServiceNow instance to generate audit records containing the following information as applicable: session, connection, transaction, or activity duration; for client-server transactions, the number of bytes received and bytes sent; additional informational messages to diagnose or identify the event; characteristics that describe or identify the object or resource being acted upon; individual identities of group account users; full-text of privileged commands.

PRIVACY TESTING

Does the system require a System Test Plan?

Yes

Is the test plan completed?

Yes

Where are the test results stored (or documentation that validation has occurred confirming that requirements have been met)?

IRWorks SharePoint

<https://irsgov.sharepoint.com/:f/s/IRWorks/EspnQ7g4CbFCIJgiE7wRHY0B4mBVmSrmNB8LlvUa45Es7w?e=7i8Iw0>

Were all the Privacy Requirements successfully tested?

Yes

Are there any residual system privacy, civil liberties, and/or security risks identified that need to be resolved?

No

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?

TBD

SBU DATA USE

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

Yes

Was permission granted per the requirements of Form 14664, SBU Data Use Questionnaire or Form 14665, SBU Data Use Request?

Yes

Provide the date the permission was granted.

8/17/2022

Was testing performed in conformance with IRM 10.8.8 Information Technology (IT) Security, Sensitive But Unclassified (SBU) Data Policy?

Yes

NUMBER AND CATEGORY OF PII RECORDS

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

IRS Employees: More than 100,000

Contractors: More than 10,000

Members of the Public: Not Applicable

Other: Yes

Identify the category of records and the number of corresponding records (to the nearest 10,000).

IRS Alumni

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?

No