

Date of Approval: **December 15, 2021**

PIA ID Number: **6425**

SYSTEM DESCRIPTION

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

Streaming Data Monitoring Tool, SDMT

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?

Streaming Data Monitoring Tool, SDMT, 4441, MS4a

What is the approval date of the most recent PCLIA?

1/27/2020

Changes that occurred to require this update:

Addition of Personally Identifiable Information (PII)

Significant System Management Changes

Were there other system changes not listed above?

Yes

What were those changes?

The Streaming Data Monitoring Tool (SDMT) - Release 2 scope is to migrate the existing production functionality of SDMT today to a new cloud/premise environment. This scope will migrate the current SDMT functionality and process to a larger environment and will also provide compute and storage resources and additional functionality. When in compliance with applicable privacy laws, it can be utilized to support IRS expanding security and threat analysis objectives.

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

Cybersecurity and Privacy Governance Board (CPGB)

Current ELC (Enterprise Life Cycle) Milestones:

Preliminary Design/Milestone 3

Detailed Design/Milestone 4A

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.

The purpose of SDMT (Splunk) is to collect and generate audit records for security-related events. Splunk assists Cybersecurity, Business Units, IRS projects, and Treasury Inspector General for Tax Administration (TIGTA) to detect unauthorized intrusions and privileged access abuse. Security audit information is defined as: A chronological record of user activities that is sufficient to enable the reconstruction, review, and examination of those activities A set of records that collectively provide evidence to support enforcement actions A set of auditable events that include all related user actions that lead up to a particular event. The audit trail record must convey these actions (i.e., user interface activities) in the record in a useful manner such that the auditable event and related actions can be reconstructed and presented in the context in which it happened. Standard Employee Identifiers (SEIDs) and Internet Protocol (IP) addresses are collected from security audit logs of various systems and are used to attribute security relevant system activity to the specific individual performing the action and the network host from which the action occurred. Splunk Enterprise collects and indexes any machine data from physical, virtual or cloud environments that can be used for security, compliance and fraud detection purpose, infrastructure, and operational management purpose as well as for application delivery and quality assurance purpose.

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:

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

Law enforcement and intelligence purposes

Another compelling reason for collecting the SSN

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

Cybersecurity has implemented audit technologies into the IRS enterprise that monitor the IRS applications and platforms to detect attacks, indicators of potential attacks, and data loss prevention. These technologies may capture social security numbers and other PII. Splunk ingests these events for auditing and research (i.e., UNAX, insider threat, fraud analytics).

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

Splunk indexes log events that may include sensitive information such as social security numbers which are forwarded by other IRS information monitoring systems. Splunk can be configured to mask social security numbers when indexing log events. Social security numbers, although processed by Splunk, can be anonymized through a regular expression or through a Stream Editor (SED) script.

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)
Mother's Maiden Name
Protection Personal Identification Numbers (IP PIN)
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
Tax Account Information
Centralized Authorization File (CAF)

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.

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.

Proprietary data Business information that does not belong to the IRS.

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?

No

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.

Personally Identifiable Information (PII), Taxpayer Information (TPI), Federal Tax Information (FTI), Standard Employee Identifier (SEIDs), Internet Protocol (IP) addresses, platform host names, and other similar data is collected by IRS technologies, and is used to validate and authenticate individuals trying to access IRS services. The information is required to ensure only valid and approved IRS taxpayers and Non-Filers may access IRS services. The following Internal Revenue Manuals (IRMs) provide requirements for external authentication of users to IRS systems, to include 10.5.1, 1.35.6, 10.8.1, and 10.8.2. It requires use of identity proofing elements such as taxpayer name, taxpayer address, taxpayer Social Security number and taxpayer date of birth and/or filing status. The other business use of the collected PII information is to conduct fraud analysis to identify and deter fraudulent usage of Electronic Authentication (eAuth) system by unauthorized users. The purpose of Splunk is to collect security audit information. Splunk assists Cybersecurity, Business Units, and Treasury Inspector General for Tax Administration (TIGTA) to detect unauthorized intrusions and privileged access abuse. Splunk would be used to alert business owners and the stakeholders mentioned when unauthorized access to any PII occurs, or an actionable event may need to be escalated to an incident.

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

All data collected by Splunk originates from other internal IRS applications and GSS (General Support System). These applications and GSS systems are responsible for ensuring SBU/PII is verified for accuracy, timeliness, and completeness. Splunk maintains the integrity of information stored after ingestion through a hashing mechanism to ensure no data is modified after ingestion. Splunk is a reporting tool and does not perform any action that modifies the data once it has been ingested and indexed. PII is submitted directly by the taxpayers and tax preparers. Once the user inputs their PII data, it gets validated against the IRS internal data source Integrated Customer Communications Environment (ICCE), validating they are who they say they are. If the information is not available (Non-Filers), their PII data is validated against third party service providers. Drop down menus and syntax requirements are enforced throughout the application to ensure the accuracy and completeness of data input. Once the PII is forwarded to Splunk, business owners can see any unauthorized access to their information and/or information systems in real-time.

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 24.030 Customer Account Data Engine Individual Master File

IRS 24.046 Customer Account Data Engine Business Master File

IRS 34.037 Audit Trail and Security Records

IRS 36.003 General Personnel and Payroll 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: 1042S
Current PCLIA: Yes
Approval Date: 10/30/2020
SA&A: Yes
ATO/IATO Date: 10/30/2020

System Name: Automated 6020(b) (A6020(b))
Current PCLIA: Yes
Approval Date: 5/23/2021
SA&A: Yes
ATO/IATO Date: 5/23/2021

System Name: AIMS - Computer Information System (A-CIS)
Current PCLIA: Yes
Approval Date: 11/23/2020
SA&A: Yes
ATO/IATO Date: 11/13/2020

System Name: Enforcement Revenue Information System (ERIS)
Current PCLIA: Yes
Approval Date: 3/5/2019
SA&A: Yes
ATO/IATO Date: 3/5/2019

System Name: Electronic Signature Storage and Retrieval Service (formerly eSignature) (ESSAR)
Current PCLIA: No
SA&A: No

System Name: Electronic Tax Administration Research and Analysis System (ETARAS)
Current PCLIA: Yes
Approval Date: 2/23/2018
SA&A: Yes
ATO/IATO Date: 2/23/2018

System Name: eTCS (eTCS)
Current PCLIA: Yes
Approval Date: 6/5/2020
SA&A: Yes
ATO/IATO Date: 6/5/2020

System Name: GSS-15 - eWFM Component (COTS) (eWFM (GSS-15))
Current PCLIA: Yes
Approval Date: 6/17/2020
SA&A: Yes
ATO/IATO Date: 6/17/2020

System Name: FUTURE Act - Direct Data Exchange (FADDX (ICCE))
Current PCLIA: Yes
Approval Date: 6/16/2020
SA&A: Yes
ATO/IATO Date: 6/16/2020

System Name: Foreign Account Tax Compliance Act - Qualified Intermediary (FATCA-QI)
Current PCLIA: No
SA&A: No

System Name: FATCA Foreign Financial Institute Registration (FATCA FI)
Current PCLIA: Yes
Approval Date: 6/8/2018
SA&A: Yes
ATO/IATO Date: 6/18/2018

System Name: Filing Information Return Electronically (FIRE)
Current PCLIA: Yes
Approval Date: 6/1/2020
SA&A: Yes
ATO/IATO Date: 6/1/2020

System Name: Financial Management Information System (FMIS)
Current PCLIA: Yes
Approval Date: 10/30/2020
SA&A: Yes
ATO/IATO Date: 10/30/2020

System Name: FOIAXPRESS (FOIAXPRESS)
Current PCLIA: No
SA&A: No

System Name: Federal Unemployment Tax Act (FUTA)
Current PCLIA: No
SA&A: No

System Name: Human Resources Reporting Center (HRRC)

Current PCLIA: Yes

Approval Date: 4/9/2020

SA&A: Yes

ATO/IATO Date: 4/9/2020

System Name: Issue Based Management Information System (IBMIS)

Current PCLIA: Yes

Approval Date: 2/16/2021

SA&A: Yes

ATO/IATO Date: 2/16/2021

System Name: International Compliance Management Model (FATCA) (ICMM (FATCA))

Current PCLIA: Yes

Approval Date: 8/12/2020

SA&A: Yes

ATO/IATO Date: 8/12/2020

System Name: Integrated Collection System (ICS)

Current PCLIA: Yes

Approval Date: 2/23/2019

SA&A: Yes

ATO/IATO Date: 2/23/2019

System Name: IDA (Investigative Data Analytics or Individual Development Account)
(IDA)

Current PCLIA: No

SA&A: No

System Name: Investigative Data Examination Application (IDEA)

Current PCLIA: Yes

Approval Date: 6/18/2020

SA&A: Yes

ATO/IATO Date: 6/18/2020

System Name: Intrusion Detection System (IDS)

Current PCLIA: No

SA&A: No

System Name: ID-Verify (WebApps) (IDV (WebApp))

Current PCLIA: Yes

Approval Date: 11/5/2019

SA&A: Yes

ATO/IATO Date: 11/5/2019

System Name: Integrated Financial System (IFS)

Current PCLIA: Yes

Approval Date: 4/21/2021

SA&A: Yes

ATO/IATO Date: 4/21/2021

System Name: Income and Family Size Verification (IFSV)

Current PCLIA: Yes

Approval Date: 2/11/2020

SA&A: Yes

ATO/IATO Date: 2/11/2020

System Name: International Web Applications (INTLWebApp)

Current PCLIA: Yes

Approval Date: 6/18/2021

SA&A: Yes

ATO/IATO Date: 6/18/2021

System Name: IDRS Online Reports Services (IORS)

Current PCLIA: Yes

Approval Date: 3/12/2020

SA&A: Yes

ATO/IATO Date: 3/12/2020

System Name: Identity Protection Personal Identification Number (ICCE) (IPPIN (ICCE)

Current PCLIA: Yes

Approval Date: 5/29/2019

SA&A: Yes

ATO/IATO Date: 5/29/2019

System Name: Information Reporting and Document Matching (IRDM)

Current PCLIA: Yes

Approval Date: 6/25/2021

SA&A: Yes

ATO/IATO Date: 6/25/2021

System Name: Information Reporting and Document Matching (IRDM) Business MasterFile and Analytics (IRDMBMFA)

Current PCLIA: No

SA&A: No

System Name: Information Reporting and Document Matching (IRDM) Case Inventory Selection and Analytics (IRDMCISA)

Current PCLIA: No

SA&A: No

System Name: IRS2Go (IRS2Go (ICCE))
Current PCLIA: Yes
Approval Date: 6/30/2020
SA&A: Yes
ATO/IATO Date: 6/30/2020

System Name: Integrated Submission and Remittance Processing System (ISRP)
Current PCLIA: Yes
Approval Date: 12/26/2019
SA&A: Yes
ATO/IATO Date: 12/26/2019

System Name: Imputed Underpayment Amount Calculator (IUACALC)
Current PCLIA: Yes
Approval Date: 6/3/2021
SA&A: Yes
ATO/IATO Date: 6/3/2021

System Name: Letter and Information Network User-fee System (LINUS)
Current PCLIA: Yes
Approval Date: 12/4/2020
SA&A: Yes
ATO/IATO Date: 12/4/2020

System Name: Large Business and International Division (LB&I) Taxpayer Registry (LTR)
Current PCLIA: No
SA&A: No

System Name: Affordable Care Act (ACA)
Current PCLIA: Yes
Approval Date: 2/22/2021
SA&A: Yes
ATO/IATO Date: 2/22/2021

System Name: Appeals Centralized Database System (ACDS)
Current PCLIA: Yes
Approval Date: 9/14/2020
SA&A: Yes
ATO/IATO Date: 9/14/2020

System Name: Security-1 (FSCT)
Current PCLIA: No
SA&A: Yes
ATO/IATO Date: 2/9/2017

System Name: Federal Student Aid IRS Datashare (FSA-D)
Current PCLIA: Yes
Approval Date: 7/8/2021
SA&A: Yes
ATO/IATO Date: 5/1/2021

System Name: First Time Home Buyers Credit (FTHBC)
Current PCLIA: Yes
Approval Date: 3/11/2019
SA&A: Yes
ATO/IATO Date: 9/2/2018

System Name: TIN Matching (TM)
Current PCLIA: Yes
Approval Date: 11/3/2015
SA&A: Yes
ATO/IATO Date: 3/22/2017

System Name: Automated Enrollment (AE)
Current PCLIA: Yes
Approval Date: 2/23/2016
SA&A: Yes
ATO/IATO Date: 12/21/2017

System Name: Order a Transcript (OAT)
Current PCLIA: Yes
Approval Date: 8/8/2021
SA&A: Yes
ATO/IATO Date: 4/1/2021

System Name: Online Account (OLA)
Current PCLIA: Yes
Approval Date: 6/16/2021
SA&A: Yes
ATO/IATO Date: 10/18/2021

System Name: GSS-30
Current PCLIA: No
SA&A: Yes
ATO/IATO Date: 6/2/2016

System Name: Enterprise web-based suite of Services (eServices)
Current PCLIA: Yes
Approval Date: 11/16/2021
SA&A: Yes
ATO/IATO Date: 2/21/2021

System Name: International Compliance Management Model FATCA International Returns (ICMM FIR)

Current PCLIA: Yes

Approval Date: 10/27/2020

SA&A: Yes

ATO/IATO Date: 8/12/2020

System Name: Integrated Financial System (IFS)

Current PCLIA: Yes

Approval Date: 4/27/2017

SA&A: Yes

ATO/IATO Date: 10/13/2017

System Name: Issue Management System (IMS)

Current PCLIA: Yes

Approval Date: 10/1/2021

SA&A: Yes

ATO/IATO Date: 12/1/2021

System Name: Selection and Analytics Platform (SNAP)

Current PCLIA: Yes

Approval Date: 6/11/2021

SA&A: Yes

ATO/IATO Date: 6/11/2021

System Name: Get Transcript (GETTRANS)

Current PCLIA: Yes

Approval Date: 3/30/2016

SA&A: Yes

ATO/IATO Date: 3/12/2019

System Name: Enterprise Case Management (ECM)

Current PCLIA: No

SA&A: No

System Name: Electronic Authentication (eAuth)

Current PCLIA: Yes

Approval Date: 6/16/2021

SA&A: Yes

ATO/IATO Date: 6/30/2020

System Name: Return Review Program (RRP)

Current PCLIA: Yes

Approval Date: 12/6/2019

SA&A: Yes

ATO/IATO Date: 6/21/2019

System Name: Prisoner Reporting Tool
Current PCLIA: Yes
Approval Date: 12/4/2017
SA&A: No

System Name: Coverage Data Repository (CDR)/Information Returns Database (IRDB)
Current PCLIA: Yes
Approval Date: 5/21/2021
SA&A: Yes
ATO/IATO Date: 4/16/2020

System Name: Automated Collection System (ACS)
Current PCLIA: Yes
Approval Date: 10/1/2021
SA&A: Yes
ATO/IATO Date: 12/1/2021

System Name: Business Masterfile Case Creation Non-Filer Identification Process
(BMF_CCNIP)
Current PCLIA: Yes
Approval Date: 8/3/2021
SA&A: Yes
ATO/IATO Date: 9/10/2020

System Name: Branded Prescription Drugs (BPD)
Current PCLIA: Yes
Approval Date: 5/5/2021
SA&A: Yes
ATO/IATO Date: 9/22/2020

System Name: Counsel Automated Systems Environment Management Information System
(CASEMIS)
Current PCLIA: Yes
Approval Date: 3/15/2021
SA&A: Yes
ATO/IATO Date: 2/17/2021

System Name: Compliance Data Environment (CDE)
Current PCLIA: Yes
Approval Date: 3/19/2019
SA&A: Yes
ATO/IATO Date: 10/30/2019

System Name: Correspondence Examination Automation Support (CEAS)
Current PCLIA: Yes
Approval Date: 2/18/2021
SA&A: Yes
ATO/IATO Date: 1/19/2021

System Name: Individual Master File (IMF)

Current PCLIA: Yes

Approval Date: 3/4/2020

SA&A: Yes

ATO/IATO Date: 11/3/2021

System Name: Electronic Fraud Detection System (EFDS)

Current PCLIA: Yes

Approval Date: 12/7/2020

SA&A: Yes

ATO/IATO Date: 3/27/2020

System Name: Electronic Federal Payment Posting System (EFPPS)

Current PCLIA: Yes

Approval Date: 4/26/2021

SA&A: Yes

ATO/IATO Date: 3/1/2021

System Name: Information Returns Master File Processing (IRMF)

Current PCLIA: Yes

Approval Date: 9/22/2021

SA&A: Yes

ATO/IATO Date: 3/12/2020

System Name: Automated Lien System " ENTITY Case Management (ALS ENTITY)

Current PCLIA: Yes

Approval Date: 9/24/2021

SA&A: Yes

ATO/IATO Date: 3/28/2021

System Name: Automated Manual Assessments (AMA)

Current PCLIA: Yes

Approval Date: 4/26/2021

SA&A: Yes

ATO/IATO Date: 10/14/2020

System Name: Account Management System (AMS)

Current PCLIA: Yes

Approval Date: 10/20/2020

SA&A: Yes

ATO/IATO Date: 3/16/2020

System Name: Integrated Data Retrieval System (IDRS)

Current PCLIA: Yes

Approval Date: 10/26/2021

SA&A: Yes

ATO/IATO Date: 11/1/2021

System Name: Foreign Account Tax Compliance Act (FATCA)
Current PCLIA: Yes
Approval Date: 11/8/2019
SA&A: Yes
ATO/IATO Date: 11/8/2018

System Name: Automated Freedom of Information Act (AFOIA)
Current PCLIA: Yes
Approval Date: 3/18/2016
SA&A: Yes
ATO/IATO Date: 11/24/2020

System Name: Big Data Analytics (BDA)
Current PCLIA: Yes
Approval Date: 11/20/2020
SA&A: Yes
ATO/IATO Date: 3/28/2021

System Name: Internet Refund-Fact of Filing (IRFOF)
Current PCLIA: Yes
Approval Date: 3/30/2016
SA&A: No

System Name: Service Wide Employment Tax Research System (SWETRS)
Current PCLIA: Yes
Approval Date: 2/12/2019
SA&A: Yes
ATO/IATO Date: 2/19/2021

System Name: Totally Automated Personnel System (TAPS)
Current PCLIA: Yes
Approval Date: 10/6/2020
SA&A: Yes
ATO/IATO Date: 4/9/2020

System Name: Transcript Delivery System (TDS)
Current PCLIA: Yes
Approval Date: 11/3/2015
SA&A: Yes
ATO/IATO Date: 3/22/2017

System Name: Tax Litigation Counsel Automated Tracking System (TLCATS)
Current PCLIA: Yes
Approval Date: 5/9/2019
SA&A: Yes
ATO/IATO Date: 5/5/2021

System Name: Tax Identification Number (PTIN) System (TPPS)

Current PCLIA: Yes

Approval Date: 2/4/2020

SA&A: Yes

ATO/IATO Date: 11/13/2019

System Name: Web-Based Employee Technical Time System (WEBETS)

Current PCLIA: Yes

Approval Date: 10/27/2021

SA&A: Yes

ATO/IATO Date: 1/6/2021

System Name: Withholding Compliance System (WHCS)

Current PCLIA: Yes

Approval Date: 4/8/2021

SA&A: Yes

ATO/IATO Date: 10/26/2020

System Name: Where's My Amended Return (WMAR)

Current PCLIA: Yes

Approval Date: 5/29/2019

SA&A: Yes

ATO/IATO Date: 5/19/2019

System Name: GSS-42

Current PCLIA: Yes

Approval Date: 4/17/2019

SA&A: Yes

ATO/IATO Date: 3/3/2017

System Name: GSS-17

Current PCLIA: Yes

Approval Date: 8/18/2021

SA&A: Yes

ATO/IATO Date: 3/18/2021

System Name: ACA Information Returns (AIR)

Current PCLIA: Yes

Approval Date: 9/28/2020

SA&A: Yes

ATO/IATO Date: 3/14/2020

System Name: Security-1 (SAAS)

Current PCLIA: Yes

Approval Date: 4/6/2020

SA&A: Yes

ATO/IATO Date: 4/29/2020

System Name: External Services Authorization Management (ESAM)

Current PCLIA: Yes

Approval Date: 11/3/2015

SA&A: Yes

ATO/IATO Date: 3/22/2017

System Name: Taxpayer Identification Number - Real Time System (ITIN RTS)

Current PCLIA: Yes

Approval Date: 11/1/2021

SA&A: Yes

ATO/IATO Date: 6/24/2021

System Name: Modernized E File (MEF)

Current PCLIA: Yes

Approval Date: 2/20/2019

SA&A: Yes

ATO/IATO Date: 4/3/2018

System Name: Modernized Internet Employer Identification Number (MODIEIN)

Current PCLIA: Yes

Approval Date: 10/25/2019

SA&A: Yes

ATO/IATO Date: 5/29/2019

System Name: TIN Validation - Enterprise Common Service (TIN-ECS)

Current PCLIA: Yes

Approval Date: 3/15/2019

SA&A: Yes

ATO/IATO Date: 6/28/2018

System Name: Security-1 (SPIIDE)

Current PCLIA: Yes

Approval Date: 3/31/2015

SA&A: Yes

ATO/IATO Date: 3/14/2016

System Name: GSS-26

Current PCLIA: No

SA&A: Yes

ATO/IATO Date: 1/26/2017

System Name: GSS-38

Current PCLIA: No

SA&A: Yes

ATO/IATO Date: 5/17/2017

System Name: Online Payment Agreement (OPA)
Current PCLIA: Yes
Approval Date: 3/13/2019
SA&A: Yes
ATO/IATO Date: 6/27/2018

System Name: Reporting Compliance Case Management System (RCCMS)
Current PCLIA: Yes
Approval Date: 10/14/2020
SA&A: Yes
ATO/IATO Date: 10/14/2020

System Name: Lead and Case Analytics Project Charter (LCA)
Current PCLIA: Yes
Approval Date: 6/30/2018
SA&A: Yes
ATO/IATO Date: 2/14/2018

System Name: KISAM
Current PCLIA: Yes
Approval Date: 12/10/2020
SA&A: Yes
ATO/IATO Date: 5/26/2020

System Name: Health Coverage Tax Credit (HCTC)
Current PCLIA: Yes
Approval Date: 3/21/2019
SA&A: Yes
ATO/IATO Date: 9/16/2020

System Name: Enterprise level web-based data Tracking (eTRAK)
Current PCLIA: Yes
Approval Date: 3/11/2019
SA&A: Yes
ATO/IATO Date: 4/8/2018

System Name: Excise Files Information Retrieval System (EXFIRS)
Current PCLIA: Yes
Approval Date: 1/23/2020
SA&A: Yes
ATO/IATO Date: 5/22/2019

System Name: Excise Summary Terminal Activity Reporting System (ExSTARS)
Current PCLIA: Yes
Approval Date: 1/13/2017
SA&A: Yes
ATO/IATO Date: 4/19/2017

System Name: Remittance Strategy for Paper Check Conversion (RSPCC)

Current PCLIA: Yes

Approval Date: 1/19/2021

SA&A: Yes

ATO/IATO Date: 11/1/2021

System Name: Automated Background Investigation System (ABIS)

Current PCLIA: Yes

Approval Date: 3/16/2020

SA&A: Yes

ATO/IATO Date: 4/3/2020

System Name: Automated Electronic Fingerprinting (AEF)

Current PCLIA: Yes

Approval Date: 3/16/2020

SA&A: Yes

ATO/IATO Date: 4/3/2020

System Name: Audit Information Management System (AIMS)

Current PCLIA: Yes

Approval Date: 11/16/2021

SA&A: Yes

ATO/IATO Date: 8/21/2021

System Name: Automated Labor and Employee Relations Tracking System (ALERTS)

Current PCLIA: Yes

Approval Date: 10/1/2020

SA&A: Yes

ATO/IATO Date: 1/7/2020

System Name: Automated Non-Master File (ANMF)

Current PCLIA: Yes

Approval Date: 9/24/2021

SA&A: Yes

ATO/IATO Date: 9/9/2020

System Name: Automated Substitute for Return (ASFR)

Current PCLIA: Yes

Approval Date: 12/6/2019

SA&A: Yes

ATO/IATO Date: 7/5/2019

System Name: Automated Offers in Compromise (AOIC)

Current PCLIA: Yes

Approval Date: 5/3/2021

SA&A: Yes

ATO/IATO Date: 9/30/2020

System Name: Automated Quarterly Excise Tax Listing (AQETL)
Current PCLIA: Yes
Approval Date: 1/22/2020
SA&A: Yes
ATO/IATO Date: 4/25/2018

System Name: Automated Trust Fund Recovery (ATFR)
Current PCLIA: Yes
Approval Date: 1/27/2020
SA&A: Yes
ATO/IATO Date: 4/16/2019

System Name: Automated UnderReporter (AUR)
Current PCLIA: Yes
Approval Date: 6/12/2019
SA&A: Yes
ATO/IATO Date: 11/8/2018

System Name: Custodial Audit Support and Tracking System (CASTS)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 12/8/2018

System Name: Combined Annual Wage Reporting (CAWR)
Current PCLIA: Yes
Approval Date: 2/20/2019
SA&A: Yes
ATO/IATO Date: 7/14/2020

System Name: FATCA ICMM Country-by-Country (CbC)
Current PCLIA: No
SA&A: No

System Name: Corporate Data Initiative (CDI)
Current PCLIA: Yes
Approval Date: 6/22/2021
SA&A: Yes
ATO/IATO Date: 2/12/2021

System Name: Compliance Data Warehouse (CDW)
Current PCLIA: Yes
Approval Date: 9/16/2020
SA&A: Yes
ATO/IATO Date: 5/29/2018

System Name: CERTS (Certified Transcripts) (CERTS)
Current PCLIA: No
SA&A: No

System Name: Criminal Investigation Management Information System (CIMIS)
Current PCLIA: Yes
Approval Date: 5/9/2019
SA&A: Yes
ATO/IATO Date: 5/23/2019

System Name: Child Tax Credit Update Portal (CTCUP)
Current PCLIA: Yes
Approval Date: 6/14/2021
SA&A: Yes
ATO/IATO Date: 6/9/2021

System Name: View Credit (CREDIT (ICCE))
Current PCLIA: No
SA&A: No

System Name: Chapter Three Withholding System (CTW)
Current PCLIA: Yes
Approval Date: 11/5/2020
SA&A: Yes
ATO/IATO Date: 1/12/2020

System Name: Data at Rest Encryption (DARE)
Current PCLIA: No
SA&A: No

System Name: LBI Data Capture System (DCS)
Current PCLIA: Yes
Approval Date: 3/21/2019
SA&A: Yes
ATO/IATO Date: 10/15/2018

System Name: View Debit (DEBIT (ICCE))
Current PCLIA: No
SA&A: No

System Name: Discoverer Replacement Palantir Solution (DRPS)
Current PCLIA: No
SA&A: No

System Name: Enterprise Application Integration Broker (EAIB)
Current PCLIA: No
SA&A: No

System Name: Enterprise Business Intelligence Platform (EBIP)
Current PCLIA: Yes
Approval Date: 8/1/2019
SA&A: Yes
ATO/IATO Date: 6/16/2019

System Name: Enhanced BOD Routing (EBR (ICCE))
Current PCLIA: No
SA&A: No

System Name: Enterprise Collaborative Environment (ECE)
Current PCLIA: Yes
Approval Date: 6/8/2020
SA&A: Yes
ATO/IATO Date: 11/8/2019

System Name: Return Integrity and Compliance Services (RICS)
Current PCLIA: Yes
Approval Date: 7/10/2020
SA&A: Yes
ATO/IATO Date: 12/13/2019

System Name: Employee Plans-Exempt Organizations (EP/EO) Determination System (EDS)
Current PCLIA: Yes
Approval Date: 2/25/2021
SA&A: Yes
ATO/IATO Date: 6/10/2020

System Name: Enterprise File Storage (EFS)
Current PCLIA: Yes
Approval Date: 3/4/2020
SA&A: Yes
ATO/IATO Date: 2/14/2019

System Name: Electronic Filing PIN (EFP)
Current PCLIA: No
SA&A: No

System Name: Taxpayer Digital Communications (TDC) eGain (TDC eGain)
Current PCLIA: Yes
Approval Date: 9/1/2020
SA&A: Yes
ATO/IATO Date: 8/20/2019

System Name: EMP REG (EMPREG)
Current PCLIA: No
SA&A: No

System Name: Electronic Management System (EMS)
Current PCLIA: No
SA&A: No

System Name: Employee Protection System (EPS)
Current PCLIA: No
SA&A: No

System Name: Embedded Quality Submission Processing (EQSP)
Current PCLIA: Yes
Approval Date: 4/8/2020
SA&A: Yes
ATO/IATO Date: 6/9/2019

System Name: Large and Mid-Sized Business Workload Identification System (LWIS (LECS))
Current PCLIA: Yes
Approval Date: 9/21/2021
SA&A: Yes
ATO/IATO Date: 4/10/2020

System Name: Modernized Audit Data (MAD)
Current PCLIA: No
SA&A: No

System Name: Modified Employee Plans / Exempt Organizations (EP/EO) Determination System (MEDS)
Current PCLIA: Yes
Approval Date: 9/1/2020
SA&A: Yes
ATO/IATO Date: 8/20/2019

System Name: Management Information System (MIS (ICCE))
Current PCLIA: No
SA&A: No

System Name: National Research Program (NRP)
Current PCLIA: Yes
Approval Date: 5/11/2020
SA&A: Yes
ATO/IATO Date: 3/25/2019

System Name: Offshore Compliance Initiative (OCI)
Current PCLIA: Yes
Approval Date: 1/27/2020
SA&A: Yes
ATO/IATO Date: 2/13/2019

System Name: Item Tracking Reporting and Control (ITRAC)
Current PCLIA: Yes
Approval Date: 4/20/2021
SA&A: Yes
ATO/IATO Date: 9/16/2020

System Name: IT Workforce Tool (ITWT)
Current PCLIA: Yes
Approval Date: 6/16/2021
SA&A: Yes
ATO/IATO Date: 10/26/2020

System Name: Locator Services System - Address Research (LSS-ADR)
Current PCLIA: Yes
Approval Date: 3/30/2021
SA&A: Yes
ATO/IATO Date: 11/26/2019

System Name: Project 1446-6 (PROJ 1446)
Current PCLIA: No
SA&A: No

System Name: Reimbursable Accounts System (REACS)
Current PCLIA: Yes
Approval Date: 6/12/2020
SA&A: Yes
ATO/IATO Date: 11/8/2021

System Name: Return Transaction File On-line (RTFOL)
Current PCLIA: Yes
Approval Date: 8/19/2019
SA&A: Yes
ATO/IATO Date: 10/14/2019

System Name: Secure Enterprise Messaging System (SEMS)
Current PCLIA: No
SA&A: No

System Name: Remittance Transaction Research (RTR)
Current PCLIA: Yes
Approval Date: 4/30/2021
SA&A: Yes
ATO/IATO Date: 10/1/2020

System Name: Automated Insolvency System (AIS)

Current PCLIA: Yes

Approval Date: 2/18/2020

SA&A: Yes

ATO/IATO Date: 7/15/2019

System Name: OIC (Offer In Compromise) (OIC (ICCE))

Current PCLIA: No

SA&A: No

System Name: Online 5081 (OL5081)

Current PCLIA: Yes

Approval Date: 9/13/2018

SA&A: Yes

ATO/IATO Date: 6/14/2018

System Name: Online Notice Review (OLNR)

Current PCLIA: No

SA&A: No

System Name: Political Action Committee / Political Organization Filing and Disclosure (PAC/POFD)

Current PCLIA: No

SA&A: No

System Name: Portal Account Replacement Tool (PART)

Current PCLIA: Yes

Approval Date: 11/13/2019

SA&A: Yes

ATO/IATO Date: 3/5/2020

System Name: PAY (PAY (ICCE))

Current PCLIA: Yes

Approval Date: 2/18/2020

SA&A: Yes

ATO/IATO Date: 5/29/2019

System Name: PIV Background Investigation Process (PBIP)

Current PCLIA: Yes

Approval Date: 6/15/2020

SA&A: Yes

ATO/IATO Date: 5/18/2020

System Name: Photocopy Refunds Program (PHOREF)

Current PCLIA: Yes

Approval Date: 4/19/2021

SA&A: Yes

ATO/IATO Date: 9/1/2018

System Name: Prohibited Transactions (PT)
Current PCLIA: No
SA&A: No

System Name: People Trak (Ptrack)
Current PCLIA: Yes
Approval Date: 2/25/2019
SA&A: No

System Name: RBD (Required Minimum Distributions) (RBD)
Current PCLIA: No
SA&A: No

System Name: Return Preparer Registration - Identity Verification Service (RPR-IVS)
Current PCLIA: Yes
Approval Date: 10/30/2018
SA&A: Yes
ATO/IATO Date: 5/20/2018

System Name: Security And Communications System (SACS)
Current PCLIA: No
SA&A: No

System Name: Service Center Recognition Image Processing System (SCRIPS)
Current PCLIA: Yes
Approval Date: 11/25/2020
SA&A: Yes
ATO/IATO Date: 4/16/2020

System Name: Statistics of Income Distributed Processing System (SOI-DPS)
Current PCLIA: Yes
Approval Date: 7/2/2019
SA&A: Yes
ATO/IATO Date: 3/1/2019

System Name: Specialist Referral System (SRS)
Current PCLIA: Yes
Approval Date: 9/3/2021
SA&A: Yes
ATO/IATO Date: 3/22/2021

System Name: Selection and Workload Classification (SWC)
Current PCLIA: Yes
Approval Date: 3/9/2020
SA&A: Yes
ATO/IATO Date: 11/5/2018

System Name: Taxpayer Advocate Management Information System (TAMIS)
Current PCLIA: Yes
Approval Date: 6/2/2020
SA&A: Yes
ATO/IATO Date: 3/14/2020

System Name: TaxPro (TaxPro)
Current PCLIA: Yes
Approval Date: 8/11/2020
SA&A: Yes
ATO/IATO Date: 7/26/2018

System Name: TM-RE (TM-RE)
Current PCLIA: No
SA&A: No

System Name: TTY/TDD Component (COTS) (GSS-15) (TTY (GSS-15))
Current PCLIA: Yes
Approval Date: 6/16/2021
SA&A: Yes
ATO/IATO Date: 6/17/2020

System Name: Voice Balance Due (VBD (ICCE))
Current PCLIA: Yes
Approval Date: 3/2/2020
SA&A: Yes
ATO/IATO Date: 5/29/2019

System Name: Volunteer Income Tax Assistance (VITA (ICCE))
Current PCLIA: No
SA&A: No

System Name: Voice Processing PIN (VPPIV (ICCE))
Current PCLIA: No
SA&A: No

System Name: Websphere Application Server (WAS)
Current PCLIA: No
SA&A: No

System Name: Web Currency and Banking Retrieval System (WebCBRS)
Current PCLIA: Yes
Approval Date: 4/28/2019
SA&A: Yes
ATO/IATO Date: 5/9/2018

System Name: YK1 (FISMA Research Analysis and Statistics) (YK1)
Current PCLIA: Yes
Approval Date: 3/19/2019
SA&A: Yes
ATO/IATO Date: 1/19/2019

System Name: ACA Compliance Validation (ACV)
Current PCLIA: Yes
Approval Date: 5/19/2021
SA&A: Yes
ATO/IATO Date: 10/27/2020

System Name: Automated Case Workload Management (ACWM)
Current PCLIA: No
SA&A: No

System Name: Asset Forfeiture Tracking and Retrieval System (AFTRAK)
Current PCLIA: No
SA&A: No

System Name: Abusive Schemes Tracking and Reporting System (ASTARS)
Current PCLIA: No
SA&A: No

System Name: BMF Electronic Filing 94X-XML (BMF ELF)
Current PCLIA: No
SA&A: No

System Name: Backup Penalty Research System-Payer Penalty Research System (BPERS-PPERS)
Current PCLIA: No
SA&A: No

System Name: Business Performance Management System (BPMS)
Current PCLIA: Yes
Approval Date: 10/7/2019
SA&A: Yes
ATO/IATO Date: 7/19/2021

System Name: Brief Bank (BriefBank)
Current PCLIA: No
SA&A: No

System Name: CFO ARDI Management System (CAMS)
Current PCLIA: Yes
Approval Date: 4/13/2020
SA&A: Yes
ATO/IATO Date: 9/16/2020

System Name: Collection Time Reporting System (CTRS)
Current PCLIA: No
SA&A: No

System Name: EP-AIMS Report Process (DPTE)
Current PCLIA: No
SA&A: No

System Name: EP-AIMS Report Process (DPTE)
Current PCLIA: No
SA&A: No

System Name: EP-AIMS Report Process (EARP)
Current PCLIA: Yes
Approval Date: 8/6/2020
SA&A: Yes
ATO/IATO Date: 11/9/2020

System Name: EO/GE-AIMS Report Process (DEXP)
Current PCLIA: No
SA&A: No

System Name: Base Inventory Master File (DIMF-BIMF)
Current PCLIA: No
SA&A: No

System Name: Employee Retirement Calculator (EBIS-ERC)
Current PCLIA: No
SA&A: No

System Name: E-File Reports (E-FILE REPORTS)
Current PCLIA: No
SA&A: No

System Name: Exempt Organizations Extracts (EXMPTORG)
Current PCLIA: No
SA&A: No

System Name: Corporate Authoritative Directory Service (CADS)
Current PCLIA: Yes
Approval Date: 9/18/2020
SA&A: Yes
ATO/IATO Date: 1/3/2020

System Name: Excise Tax Registration Authentication System (ExTRAS)
Current PCLIA: No
SA&A: No

System Name: Generalized Unpostable Framework (GUF)

Current PCLIA: Yes

Approval Date: 12/17/2020

SA&A: Yes

ATO/IATO Date: 10/6/2021

System Name: Integrated Enterprise Portal-Public User Portal (PUP)

Current PCLIA: No

SA&A: No

System Name: Integrated Enterprise Portal- Web Content Management System / SOLR (IEP-WCMS)

Current PCLIA: No

SA&A: No

System Name: Insolvency Interface Program (IIP)

Current PCLIA: Yes

Approval Date: 2/19/2019

SA&A: Yes

ATO/IATO Date: 9/5/2019

System Name: Individual Master File On-Line (IMFOL)

Current PCLIA: No

SA&A: No

System Name: Insurance Provider Fee (IPF)

Current PCLIA: No

SA&A: No

System Name: Innocent Spouse (IS)

Current PCLIA: No

SA&A: No

System Name: Summary Exam Time Transmittal System (SETTS)

Current PCLIA: No

SA&A: No

System Name: SHIMS Application and Database Maintenance System (SHIMS-ADMS)

Current PCLIA: Yes

Approval Date: 8/27/2018

SA&A: Yes

ATO/IATO Date: 9/20/2018

System Name: Succession Planning Resource Center (SPRC)

Current PCLIA: No

SA&A: No

System Name: Statistical Sample Inventory Validation Listing (SSIVL)
Current PCLIA: No
SA&A: No

System Name: View Transcript (TRA)
Current PCLIA: Yes
Approval Date: 2/20/2020
SA&A: Yes
ATO/IATO Date: 5/29/2019

System Name: TE/GE Rulings and Agreements Control (TRAC)
Current PCLIA: No
SA&A: No

System Name: Toolkit Suite with Command Centre (TSCC)
Current PCLIA: Yes
Approval Date: 3/13/2019
SA&A: Yes
ATO/IATO Date: 10/9/2019

System Name: Web Content Management System (WCMS)
Current PCLIA: Yes
Approval Date: 7/10/2020
SA&A: Yes
ATO/IATO Date: 10/4/2021

System Name: GSS-24
Current PCLIA: Yes
Approval Date: 11/1/2021
SA&A: Yes
ATO/IATO Date: 3/3/2021

System Name: Embedded Quality Review System â€œ Campus (EQRSC)
Current PCLIA: Yes
Approval Date: 10/31/2019
SA&A: Yes
ATO/IATO Date: 4/25/2019

System Name: Embedded Quality Review System â€œ Field (EQRSF)
Current PCLIA: Yes
Approval Date: 2/25/2019
SA&A: Yes
ATO/IATO Date: 5/9/2018

System Name: Examination Returns Control System (ERCS)

Current PCLIA: Yes

Approval Date: 1/22/2020

SA&A: Yes

ATO/IATO Date: 3/20/2019

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?

Yes

Please identify the form number and name:

Form Number: 1095-A

Form Name: Health Insurance Marketplace Statement

Form Number: 1095-B

Form Name: Health Coverage

Form Number: 1095-C

Form Name: Employer-Provided Health Insurance Offer and Coverage

Form Number: 1094-C

Form Name: Transmittal of Employer-Provided Health Insurance Offer and Coverage Information Returns

Form Number: 1094-B

Form Name: Transmittal of Health Coverage Information Returns

Form Number: SF-85

Form Name: Questionnaire for Non-Sensitive Positions

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

Yes

Please identify the form number and name:

Form Number: SF-85

Form Name: Questionnaire for Non-Sensitive Positions

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: Tax Return Database (TRDB)

Current PCLIA: Yes

Approval Date: 11/1/2021

SA&A: Yes

ATO/IATO Date: 2/16/2021

System Name: Enterprise Directory Agent (EDA)

Current PCLIA: Yes

Approval Date: 3/3/2017

SA&A: Yes

ATO/IATO Date: 5/31/2016

System Name: Individual Return Master File (IRMF)

Current PCLIA: Yes

Approval Date: 3/9/2017

SA&A: Yes

ATO/IATO Date: 10/22/2015

Identify the authority.

5 U.S.C 301, 1302, 2951, 4118, 4308 and 4506 18 U.S.C. 1030 (a)(2)(B) 26 U.S.C. 7801
Executive Orders 9397 and 10561.

For what purpose?

To maintain records of individual and business tax returns, return transactions and authorized taxpayers. To identify and track any unauthorized accesses to sensitive but classified information and potential breaches or unauthorized disclosures of such information. To administer personnel and payroll programs.

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: Third Party Service providers
Transmission Method: SDT
ISA/MOU: No

Identify the authority.

IRC 6103(h)(1) of the Internal Revenue Code (IRC). IRC 6103(h)(1) provides for disclosure of returns and return information to officers and employees of the Department of the Treasury (including IRS) whose official duties require access for tax administration.

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

Disclose information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

For what purpose?

IRC 6103(h)(1) provides for disclosure of returns and return information to officers and employees of the Department of the Treasury (including IRS) whose official duties require access for tax administration.

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.

3/2/2020

Please identify the ownership of the CSP data.

IRS

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?

Users accessing the IRS LAN (Local Area Network) and other systems are notified that their activity may be monitored through the following warning banner that is displayed prior to granting access: ****THIS U.S. GOVERNMENT SYSTEM IS FOR AUTHORIZED USE ONLY!**** Use of this system constitutes consent to monitoring, interception, recording, reading, copying, or capturing by authorized personnel of all activities. There is no right to privacy in this system. Unauthorized use of this system is prohibited and subjected to criminal and civil penalties. All IRS systems are required to display this banner upon system login.

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

No

Why not?

Splunk only collects information from other IRS systems.

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

The system will allow affected parties the opportunity to clarify or dispute negative information that could be used against them. Due process is provided pursuant to 5 USC.

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

IRS Contractor Employees

Contractor Users: Read Only

Contractor Managers: Read Only

Contractor System Administrators: Administrator

Contractor Developers: Read Only

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

Individuals must submit a BEARS request for access. Access approval must be granted by the user's federal manager and approver groups prior to access being granted.

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.

The National Archives and Records Administration (NARA) approved the destruction of Splunk audit data when 7 years old (Job No. N1-58-10-22, approved 4/5/2011). Splunk retention requirements are published under IRS Document 12990, Records Control Schedule 19 for Martinsburg Computing Center, item 88 for Security Auditing and Analysis System (SAAS). Any new records generated by the system will be managed according to requirements under IRM 1.15.1 and 1.15.6, and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records.

SA&A OR ASCA

Has the system been through SA&A (Security Assessment and Authorization) or ASCA (Annual Security Control Assessment)?

In-process

When is the anticipated date of the SA&A or ACS completion?

1/31/2022

Describe the system's audit trail.

The following events are recorded in the Splunk audit trail: - Logon/logoff (Captured in GSS-17 logs) - Creation/modification of user groups (Captured in GSS-17 logs) - All system administrator (SA) actions + System configuration settings + Creation/Modification/Deletion of data inputs - All user actions + Creation/Modification/Deletion of Knowledge Objects (Dashboards, Visualizations, Searches) + Search execution Clearing of the audit log file Startup and shut down of audit functions Change of file or user permissions or privileges (suid/guid, chown, su, etc.) (captured in GSS-42 logs) . Once approved, Splunk will process PII, SBU, and other taxpayer-related information from other systems. This data will be indexed, reviewed, analyzed, and reported Splunk stakeholders. UserID, Usertype, System, EventType, EventID, TaxfilerTIN, SessionID, ScrAddr, ReturnCode, ErrorMessage, TimeStamp, VarData (Payload), TaxPeriod, MFTCode, ReturnCode, and TaxfilerTINType.

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)?

Security Controls Assessment Testing has been completed. ATO signed 3/28/21.

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?

Security Controls Assessment Testing has been completed. Authorization to Operate (ATO) signed 3/28/21.

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: More than 100,000

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