

Date of Approval: 07/29/2024  
Questionnaire Number: 1366

## Basic Information/Executive Summary

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

WISPEC Tableau Server

Business Unit

Taxpayer Services

Preparer

# For Official Use Only

Subject Matter Expert

# For Official Use Only

Program Manager

# For Official Use Only

Designated Executive Representative

# For Official Use Only

Executive Sponsor

# For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

The purpose of the WISPEC Tableau Server is to provide the Wage & Investment (WI) Stakeholder Partnership, Education & Communication (SPEC) population with enhanced data visualization and analysis capabilities. Tableau data connections include flat files in format of Excel files as well as server-based connections to live data/extract source SPECTRM, already approved by a separate Privacy & Civil Liberties Impact Assessment (PCLIA). Also, the data examples include but are not limited to use of Statistics of Income (SOI) hosted on IRS.gov, Census, Wikipedia, and the Department of Education which all contain publicly available data on their given websites. The data used is not considered sensitive data. Data visualization is used by SPEC territory managers and field offices to track Volunteer Income Tax Assistance/Tax Counseling for the Elderly (VITA/TCE) locations, employee information and the number of volunteer prepared returns.

# Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?

Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).

Partnering non-profit organizations participating in the VITA/TCE program must submit information containing PII data related to primary points of contact for the partner and any sites operated. VITA/TCE sites must be individually identified, so a Site Identification Number (SIDN) generated either by the partner (according to agreed upon guidelines) or by SPEC's Management Information System (MIS) known as SPECTRM, is stored/included in many SPEC documents and forms. All these data items are required to manage the VITA/TCE programs. Data from the following forms is stored in the data fields of the SPECTRM MIS: Form 13715 SPEC Volunteer Site Information Sheet; Form 14099 SPEC Financial Education and Asset Building Partner Assessment Tool; Form 13206 SPEC Volunteer Assistance Report; Form 13615 Volunteer Standards of Conduct Agreement; Form 13632 Property Loan Agreement; Form 13533 VITA/TCE Partner Sponsor Agreement. These data items are collected under 5 United States Code (USC) 301 and 26 USC 7801. The data containing PII/SBU information is largely input and maintained at the SPEC territory level. This information is inputted into SPECTRM then submitted to the Territory Manager for approval and signature. SPECTRM uses a Post of Duty (POD) and role-based security model that allows read/write access to only those individuals who need it for the territories and areas in the system. This is not disseminated outside of SPEC with the following exceptions: 1) VITA/TCE site information cleansed of all PII/SBU data is posted to the Free Tax Prep locator tool through an extract file, accessible from IRS.gov. 2) Valid SIDNs and site names are shared through an extract file to the e-Services Third-Party Data Store system via the Electronic File Transfer Utility (EFTU). No PII/SBU data is included. 3) Valid SIDNs and site names are shared through an extract file transported weekly to the IDRS RPVUE command code via EFTU. No PII/SBU data is included.

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

Address

Email Address

Name

Protected Information

Standard Employee Identifier (SEID)

Telephone Numbers

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).  
PII for personnel administration - 5 USC

## Product Information (Questions)

1.1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?

No

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

Visualization Tool.

1.35 Is there a data dictionary for this system?

No

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

The WISPEC Tableau Server reports may display BU specific SBU/PII data as required by WI SPEC management and personnel to research and make fact-based decisions and assessments. The ability to drill down to Partner and Site-specific information may also be available. VITA/TCE volunteer tax preparation partners and the corresponding sites operate using volunteers who must certify their tax compliance knowledge to be eligible to prepare returns at the VITA/TCE sites. Partnering non-profit organizations participating in the VITA/TCE program must submit information containing PII data related to primary points of contact for the partner and any sites operated. VITA/TCE sites must be individually identified, so a Site Identification Number (SIDN) generated either by the partner (according to agreed upon guidelines) or by SPEC's Management Information System (MIS) known as SPECTRM, is stored/included in many SPEC documents and forms. All these data items are required to manage the VITA/TCE programs, allowing for resource management and operational accountability. Data from the following forms is stored in the data fields of the SPECTRM MIS: Form 13715 SPEC Volunteer Site Information Sheet; Form 14099 SPEC Financial Education and Asset Building Partner Assessment Tool; Form 13206 SPEC Volunteer Assistance Report; Form 13615 Volunteer Standards of Conduct Agreement; Form 13632 Property Loan Agreement; Form 13533 VITA/TCE Partner Sponsor Agreement. These data items are collected under 5 United States Code (USC) 301 and 26 USC 7801. These data items are received from the relevant partners and volunteers and are inputted and updated by Wage & Investment (WI) Customer Assistance, Relationships and Education (CARE) SPEC employees assigned as the Relationship Manager (RM) for the specific partners.

1.4 Is this a new system?

No

1.5 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this system?

No

1.8 If the system is on the As-Built-Architecture, what is the ABA ID of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID for each application covered separated by a comma.

Tableau Enterprise Visualization (TEV) ABA ID is 211421

1.9 What OneSDLC State is the system in (Allocation, Readiness, Execution)?

Execution

1.95 If this system has a parent system, what is the PCLIA Number of the parent system?

Parent system is Enterprise Business Intelligence Platform (EBIP). I do not find an ABA ID for EBIP on the ABA website.

2.1 If this system discloses any PII to any third party outside the IRS, does the system have a process in place to account for such disclosures in compliance with IRC 6103(p)(3)(A) or Subsection c of the Privacy Act? Contact Disclosure to determine if an accounting is required. Enter "Yes" or "No". If Exempt, type "Exempt".

Yes

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

Director, TS-CARE-SPEC

3.1 Does your project/system involve any use of artificial intelligence (AI), including virtual assistant, chat bot, and robotic process automation, as defined in Executive Order 13960?

No

3.3 Does this system use cloud computing?

No

3.6 Does this system interact with the public through a web interface?

No

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

Partnering organizations sponsoring the volunteers submit the Form 13615 for the volunteers operating at their free tax preparation locations under the VITA/TCE program. WI-CARE SPEC RM at the territory level review the Form 13615 information, and work with the partner/volunteer to address any errors found by the RM or raised by the partner/volunteer. Issues can be raised to the Territory Manager as appropriate, but this is rarely necessary.

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

IRS Owned and Operated

4.5 Identify the roles and their access level to the PII data. For contractors, indicate whether their background investigation is complete or not.

Legend of Role IDs R = Record level for the module, can add/edit/delete for all records assigned to the individual. T =Territory level for the module, can add/edit/delete for all records assigned to the territory. TM =Territory level for the module, can add/edit/delete for all records assigned to this territory; can also change primary/secondar SEID for the module. AA = Can read all records for area. RO = Read-only; overrides any other roles for individual for the module.

4.51 How many records in the system are attributable to IRS Employees? Enter “Under 50,000”, “50,000 to 100,000”, “More than 100,000” or “Not Applicable”.

Under 50,000

4.52 How many records in the system are attributable to contractors? Enter “Under 5,000”, “5,000 to 10,000”, “More than 10,000” or “Not Applicable”.

Not Applicable

4.53 How many records in the system are attributable to members of the public? Enter “Under 5,000”, “5,000 to 10,000”, “More than 10,000” or “Not applicable”.

Under 100,000

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

The user account created in Tableau Server uses a role-based security model to assign users access to data specific to their responsibilities. Users are only permitted to access data authorized by their manager. Information will be stored in a secure location and only accessible by authorized IRS personnel for official business use. The WISPEC Tableau Server provides several levels of secure access: 1. The employee's manager must approve access to data source with a need-to-know; 2. A BEARS process of approval must be initiated and adhered to for access to the WISPEC Tableau Server ; 3. Folder level permissions are granted and maintained by Tableau Administrators; 4. Groups within the Online environment that we create and assign user permissions/access to those groups.

5.1 Please describe any privacy risks, civil liberties and/or security risks identified for the system that need to be resolved and what is the mitigation plan?

None

5.11 Is there a Risk Assessment Form and Tool (RAFT) associated with this system on file with your organization or the IRS Risk Office.

No

5.2 Does this system use or plan to use SBU data in a non-production environment?

No

## Interfaces

### Interface Type

Forms

Agency Name

14099 - SPEC Partner/Site Financial Education & Asset Building  
Assessment

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

SPECTRM (Stakeholder, Partnership, Education Communication  
Total Relationship Management)

### Interface Type

Forms

Agency Name

13206 - Volunteer Assistance Summary Report

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

SPECTRM (Stakeholder, Partnership, Education Communication  
Total Relationship Management)

### Interface Type

Forms

Agency Name

13715 - Volunteer Site Information Sheet

Incoming/Outgoing

Incoming (Receiving)

Agency Agreement

No

Agreement Name

Transfer Method

Other

Other Transfer Method  
SPECTRM (Stakeholder, Partnership, Education Communication  
Total Relationship Management)

**Interface Type**

Forms  
Agency Name  
13632 - Property Loan Agreement  
Incoming/Outgoing  
Incoming (Receiving)  
Transfer Method  
Other  
Other Transfer Method  
SPECTRM (Stakeholder, Partnership, Education Communication  
Total Relationship Management)

**Interface Type**

Forms  
Agency Name  
13533 - VITA/TCE Partner Sponsor Agreement  
Incoming/Outgoing  
Incoming (Receiving)  
Transfer Method  
Other  
Other Transfer Method  
SPECTRM (Stakeholder, Partnership, Education Communication  
Total Relationship Management)

**Interface Type**

Forms  
Agency Name  
13615 - Volunteer Standards of Conduct Agreement  
Incoming/Outgoing  
Incoming (Receiving)  
Transfer Method  
Other  
Other Transfer Method  
SPECTRM (Stakeholder, Partnership, Education Communication  
Total Relationship Management)

# Systems of Records Notices (SORNs)

## **SORN Number & Name**

IRS 10.004 - Stakeholder Relationship Management and Subject Files

Describe the IRS use and relevance of this SORN.

Used to manage Volunteer and Partner information.

## **SORN Number & Name**

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

To administer general personnel information

# Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

5.2

What is the GRS/RCS Item Number?

020

What type of Records is this for?

Electronic

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

Data displayed in Tableau are not the official records and therefore this Tableau Server instance is not considered an official recordkeeping system. The Tableau Administrator will ensure that data and reports are appropriately destroyed/deleted when no longer needed for reference.

What is the disposition schedule?

Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.

# Data Locations

What type of site is this?

System

What is the name of the System?

SPECTRM (Stakeholder, Partnership, Education Communication Total Relationship Management)

What is the sensitivity of the System?

Sensitive But Unclassified (SBU)

What is the URL of the item, if applicable?

<https://vp0smtbwebsec70.ds.irsnet.gov/default/default.aspx>

Please provide a brief description of the System.

SPECTRM provides SPEC the ability to manage the Outreach, Education and Volunteer Tax Preparation programs. SPEC delivers its programs through a network of partners and volunteers.

SPECTRM will offer the tools needed for SPEC employees to manage relationships with partners, volunteers, record site information, report results and order equipment and software for the tax preparation program.

What are the incoming connections to this System?

None. Data is entered into SPECTRM manually. No automated system enters data into SPECTRM.

What are the outgoing connections from this System?

None. Data is entered into SPECTRM manually. No automated system enters data into SPECTRM.