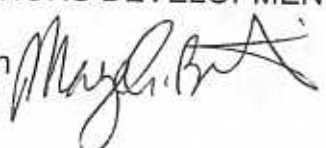




DEPARTMENT OF THE TREASURY
INTERNAL REVENUE SERVICE
WASHINGTON, D.C. 20224

APR 5 2004

MEMORANDUM FOR H. PHILLIP GRINER
CHIEF, IMAS SECTION
RAPID APPLICATIONS DEVELOPMENT DIVISION

FROM: Maya A. Bernstein 
Privacy Advocate

SUBJECT: Centralized Workload & Selection Development –
Input Application
Privacy Impact Assessment

The Office of the Privacy Advocate has reviewed the Privacy Impact Assessment (PIA) for the Centralized Workload & Selection Development – Input Application. Based on the information you provided, the Office of the Privacy Advocate does not have any privacy concerns that would preclude this application from operating. However, a revised PIA is required when considering any future upgrades or major modifications, or at the scheduled recertification of this application.

We are forwarding a copy of the PIA to the Director, Modernization and System Security, to be included in the Security Accreditation Package for formal acceptance for operation. That office may request information concerning the statements contained in the PIA to ascertain compliance with the applicable security requirements. If you have any questions, please contact me at 202-927-5170, or your staff may contact Brian D. Townsend at 202-927-5162.

cc: Director, Modernization and System Security OS:MA:M

Date October 21, 2003

MEMORANDUM FOR MAYA A. BERNSTEIN
PRIVACY ADVOCATE

FROM: H. Phillip Griner, Chief IMAS Section
Rapid Applications Development Division OS:CIO:I:B:CA:AP:AM

SUBJECT: Request for Privacy Impact Assessment (PIA) –
CWSD – Input Application

Name of Request Contact:

Name: Sharon J West
Organization Name & Symbols: Information Management Applications Section
(OS:CIO:I:B:CA:AP:AM)
Mailing Address: 3651 S. IH-35, Austin, TX 78741
Phone Number (with area code): (512) 460-2647

Name of Business System Owner:

Name: Mary Pat Shaw, Director, Collection Management Information Systems and
Customer Service
Organization Name & Symbols: Centralized Workload & Selection Section
OP:C:W:M:M
Mailing Address: New Carrollton Federal Building 5000 Ellin, Lanham, MD 20706
Phone Number (with area code): (202) 283-2258

Name of Business System Owner:

Name: Sherry Williams
Organization Name & Symbols: Centralized Workload & Selection Section
OP:C:W:M:M
Mailing Address: New Carrollton Federal Building 5000 Ellin, Lanham, MD 20706
Phone Number (with area code): (202) 283-2171

Requested Operational Date: 1 Jan 2004

Category:

New: X

Existing System:

Recertification, (with no change, date of last certification) _____

With Significant Modification: _____

National Standard Application (NSA): _____

Modernization Project or System:

Check Milestone: one ___ two ___ three ___ four ___ five ___

System of Record Number(s) (SORN) #:

IRS 26.016--Returns Compliance Programs (RCP)

IRS 26.019--Taxpayer Delinquent Accounts (TDA) Files including subsystems: (a) Adjustments and Payment Tracers Files, (b) Collateral Files, (c) Seized Property Records, (d) Tax SB/SE, W&I, LMSB Waiver, Forms 900, Files, and (e) Accounts on Child Support Obligations

IRS 26.020--Taxpayer Delinquency Investigation (TDI) Files

IRS 34.037 IRS Audit Trail and Security Records System

IRS 36.003 General Personnel and Payroll Records

The above SORN was approved by David Silverman on December 4, 2003.

Purpose of the System:

The Austin IMAS Staff has been tasked to gather Management Information System (MIS) data for the past several years. The CWSD-IA project is a web based interface used to capture inventory data for Centralized Workload & Selection Development from Collection Campus Units. (This information is previously known as CIR MISTLE)

The CWSD-IA is the primary repository for non-sensitive management inventory type information from various campus collection sites captured via manual input. When the data is received, the CWSD-IA processes and stores the information in a relational database designed specifically for the data source. The data is archived and allows access to inventory measures and inventory volumes for management type reports. The CWSD-IA will transmit data to specific "subscribers" who have applied to receive this data. "Subscribers" can be other IRS applications, IRS Data Marts, etc., however, a subscriber will never be an individual user or person.

Attachment: PIA

Data in the System

<p>1. Describe the information (data elements and fields) available in the system in the following categories:</p> <ul style="list-style-type: none"> A. Taxpayer B. Employee C. Audit Trail Information (including employee log-in info) D. Other (Describe) 	<ul style="list-style-type: none"> A. Taxpayer: None. B. Employee: NTLogon. C. Audit Trail Information: The inventory table captures no audit trail information. Employee log-in information is used for security access only. D. Other: The CWSD-IA contains inventory data from campus collection unit's input. The data is from existing IRS legacy systems or other physically counted MIS workload information. This information is neither taxpayer nor employee specific.
<p>2. Describe/identify which data elements are obtained from files, databases, individuals, or any other sources.</p> <ul style="list-style-type: none"> A. IRS B. Taxpayer C. Employee D. Other Federal Agencies (List agency) E. State and Local Agencies (List agency) F. Other third party sources (Describe) 	<ul style="list-style-type: none"> A. The CWSD-IA utilizes Campus inventory data manually input from Collection units. This data input for CWSD_IA information includes specific management specified Organization Function Program (OFP) inventories. Such information is weekly Beginning Inventory, Receipts, Adjustments, Closed, Ending Inventory, Controlled, Uncontrolled Inventory, and Overage information. B. No Taxpayer information. C. No employee data at this time except for potential employee login information for security. Specific data elements are described in the CWSD GUIDS (software design methodology) Design Document. D. None - No Federal Agencies, outside IRS, are providing data. E. None – No State or Local Agencies are providing data. F. None – No other third party sources are providing data.

<p>3. Is each data item required for the business purpose of the system? Explain.</p>	<p>All of the data elements identified in the CWSD-IA inventory database outlined in the response to #2a above, are needed, for management information purposes.</p> <p>Specific inventory data elements are described in the CWSD GUIDS document.</p>
<p>4. How will each data item be verified for accuracy, timeliness, and completeness?</p>	<p>The CWSD-IA will contain inventory from existing IRS Collection units, each of which have their own internal validation and verification processes. An Adjustment column and Remarks notations is also provided.</p>
<p>5. Is there another source for the data? Explain how that source is or is not used.</p>	<p>No. The only source of information is through the specific campus unit's manual input and has been identified in the CWSD GUIDS document.</p>
<p>6. How will the data generally be retrieved by the user?</p>	<p>The CWSD-AI accumulates and stores the inventory data into the CWSD database (non-sensitive data).</p> <p>The CWSD database is a web based input data systems application and can only be used by individuals authorized for work purposes. Records of input inventory date can be printed by each campus unit for historic purposes via a web page printout.</p> <p>Only authorized individual users (N.O.) will have total access to actual data stored in the CWSD database via SQL queries. This data will allow National Office analysts to mine a particular unit's inventory information by Rpt Date, Campus, or OFP and to make inventory corrections to the CWSD database as the National Office analysts determine.</p> <p>After weekly input by the Collection units the inventory information is pushed to the Business Measures Data Mart (BMDM) for calculating business measures.</p>

<p>7. Is the data retrievable by a personal identifier such as name, SSN, or other unique identifier?</p>	<p>The system uses "NT Authentication Only" and each individual can only input/receive information for their own authorized campus location based on their NT Authentication. The system does not provide the functionality for end users to retrieve data using any other personal identifier.</p>
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Access to the Data

<p>8. Who will have access to the data in the system (Users, Managers, System Administrators, Developers, Others)?</p>	<p>System Administrators, National Office Analysts and unit input personnel will have access to the data in the CWSD database.</p> <p>IRS management and users will have access to business measures via a data "push" from the CWSD data base to the BMDM and will be able to see calculated measure information about the data stored in the CWSD.</p>
<p>9. How is access to the data by a user determined and by whom?</p>	<p>Employees will request authorization from National Office CWSD Section for input access to the CWSD Input web interface.</p> <p>Subscribers can receive approval for this non-sensitive data via a request for subscription that contains a valid business reason justifying the need.</p>
<p>10. Do other IRS systems provide, receive, or share data in the system? If YES, list the system(s) and describe which data is shared. If NO, continue to Question 12.</p>	<p>Yes - The BMDM receives data via a Data Transfer System (DTS) package data push located on the CWSD database server. Data shared is inventory volumes and is retrieved by Rpt Date, Campus and OFF. OFF is used to track the type of inventory reported.</p>
<p>11. Have the IRS systems described in Item 10 received an approved Security Certification and Privacy Impact Assessment?</p>	<p>Yes. BMDM has an approved PIA dated 5/22/02.</p>

<p>12. Will other agencies provide, receive, or share data in any form with this system?</p>	<p>No – Other agencies will not share or have access to the CWSD database.</p>
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Administrative Controls of Data

<p>13. What are the procedures for eliminating the data at the end of the retention period?</p>	<p>There is a nightly server backup tape, which will contain the data and programs which is kept per server restoration requirements. The guidelines are contained in IRM 1.15.1 and IRM 1.15.2.</p> <p>All other data elimination will be through record deletions. Records are kept for three years per N.O. program request.</p>
<p>14. Will this system use technology in a new way? If "YES" describe. If "NO" go to Question 15.</p>	<p>No. The system is not using technologies in ways that the IRS has not previously employed.</p>
<p>15. Will this system be used to identify or locate individuals or groups? If so, describe the business purpose for this capability.</p>	<p>No - This system does not have the capability to identify or locate individuals or groups of people.</p>
<p>16. Will this system provide the capability to monitor individuals or groups? If yes, describe the business purpose for this capability and the controls established to prevent unauthorized monitoring.</p>	<p>No - This system does not have the capability to monitor individuals or groups of people.</p>
<p>17. Can use of the system allow IRS to treat taxpayers, employees, or others, differently? Explain.</p>	<p>No – This system does not allow IRS to treat taxpayers, employees or others differently. The CWSD database will not affect the equitable treatment of taxpayers/employees.</p>
<p>18. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action?</p>	<p>The CWSD database has no negative effects on the due process rights of taxpayers or employees. The CWSD database is a data repository for MIS information, not a case processing or case management tool.</p>

<p>19. If the system is web-based, does it use persistent cookies or other tracking devices to identify web visitors?</p>	<p>No – The Web interface does not utilize persistent cookies or other tracking devices to identify web visitors.</p> <p>The CWSD Input Application is an internal (Intranet) resource available only within the Treasury Firewall for IRS employees (See #7 above).</p> <p>The Web Interface will have the capability to record and audit employee activity via their NT Login, and the CWSD Web interface will have the functionality to identify a specific NT Login.</p> <p>This type of logging is required for input access levels. Any type of auditing or logging will meet all appropriate requirements for security and internal IRS Web applications.</p>
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