



Tactical Advisory Group (TAG) Security Subcommittee

*Presentation for the FTA 2<sup>nd</sup>  
Computer Security Conference  
April 3<sup>rd</sup>, 2008*

TAG SS Co-Chairs:  
Tim Blevins, CIO Kansas  
Ellen Pieklo, DM, CISSP IRS

Teaming for Results

## Objectives

- Provide an overview of the Tactical Advisory Group (TAG) and TAG Security Subcommittee (SS) initiatives
- Identify TAG SS efforts
  - Increased membership levels
  - Provided technical Input into Publication 1075
  - Served as test group for Secure Data Transfer
  - Provided comments to the proposed Self Assessment process
  - Developed agenda and facilitated the Computer Security Conference
- Identify 2008 goals
- Discuss outstanding issues

## Tactical Advisory Group (TAG)

- Established in 2003 for the IRS to partner with the Federation of Tax Administrators
  - Are six state representatives
  - Are IRS representatives from Wage & Investment, Small Business/Self Employed, Mission Assurance & Security Services and Electronic Tax Administration
  - Host monthly phone conference calls
  - Meet 3 times annually, face to face
- Establishes Stakeholder Relationship between Federation of Tax Administrators & Internal Revenue Service (IRS)

## TAG Initiatives

- Focuses on key electronic tax initiatives:
  - Developing recommendations for e-services
  - Providing electronic filing to the American public
  - Providing electronic payment capabilities
  - Facilitating multi Lingual Initiatives to increase electronic filing among non English speaking populations
  - Providing oversight and approval to the TAG Security Subgroup initiatives

## TAG Security Subcommittee (TAG SS)

- Established in 2005 to complement the TAG e-file initiatives
- Establishes Stakeholder Relationship between Federation of Tax Administrators & Internal Revenue Service (IRS)
- Focuses on security related electronic tax administration issues, resulting from TAG initiatives
- Ensures the integration of security throughout the development and life cycle of state taxation agencies, as these apply to processing of Federal Tax Information (FTI)

## State Representatives

<b>Tim Blevins Co-Chair</b>	915 SW Harrison St, Rm 1251	Topeka
Patrick Dooley	2135 Rimrock Road	Madison
Dennis Gilleran	200 Arlington Street	Chelsea
Patrick McGuire	PO Box 1468 MS A-190	Sacramento
Craig McCulloch	PO Box 1468 MS A-181	Sacramento
James Norton	25 Sigourney Street	Hartford
Stan Wiechert	915 SW Harrison Street	Topeka
Terry Garber	301 Gervais Street	Columbia

## State Representatives

Jonathan Lyon	444 N Capital St NW, Suite 348	Washington	DC
Bruce Showel	600 North Robert St.	St. Paul	MN
Dwayne Beamon, CISSP,CNE,MSCA	501 N. Wilmington St	Raleigh	NC
Carolyn Jordan, CISSP	4485 Northland Ridge Blvd.	Columbus	OH
Cristy Schaan	1600 West Monroe	Phoeniz	AZ
Roy Gregory	2501 Lincoln Blvd	Oklahoma City	OK

## IRS Representatives

<b>Dr. Ellen Pieklo, CISSP Co-Chair</b>	255 East Avenue	Rochester	NY
Janice Harrison	5000 Ellin Rd, Lanham MD 20770 C8	Lanham	Lanham
Valerie Oliver	1301 Clay Street, Oakland, CA 94612	Oakland	CA
Richard Therrien	5000 Ellin Rd, Lanham MD 20770 C8	Lanham	Lanham
Sammi Shultz	4709 Spur Dr;	Cheyenne	WY
Werner Hey	1111 Constitution Avenue, NW, IR-3619	Washington	DC
Dr. Srinivas Ganta (Tin2), CISSP	5000 Ellin Rd,C6-461	Lanham	MD
David Silverman	Office of Dislosure 1111 Constitution Ave	Washington	DC
Cassandra Daniels	5000 Ellin Road, Rm C4-180	Lanham	MD

## Updated Membership

- 2008 Updated membership to include ten states
- Have assigned new State Co-Chair for 2009 and 2010
- 2007 updated membership to include and define additional IRS organizations
- Continue to refine TAG SS Charter approved through TAG
- State TAG SS membership for 2009 pending assignment

## Input into Publication 1075

- Identified by Treasury Inspector General of Tax Administration (TIGTA) as not compliant with NIST 800-53, Recommended Security Controls for Moderate Risk Federal Information Systems
- Provided input into content of Pub 1075, including application of NIST 800-53 to state agencies
  - Provided consensus based discussions to Safeguards
  - Reached agreement between Safeguards and TIGTA on control do not apply to protecting FTI, like environmental controls of computer rooms
  - Includes new guidance for trading partners to submit correspondence, reports and attachments via the Internet, using approved encryption
- Published document is available on [www.irs.gov](http://www.irs.gov)

## Self Assessment Process

- **Met with Safeguards to discuss a proposed Self Assessment process to allow a site to:**
  - Self assess, providing results and required verification to the IRS
  - Allow IRS to use results and verification documentation to create the Interim Safeguard Review Report
- **Base-lined revised Publication 1075 mandatory verification requirements and tested as part of the 2008 California review**
- **May serve as a model for Computer Security portion of on-site and self-assessment Safeguard reviews**

## Self Assessment Feedback

- **Agencies require additional clarification and better definition of the proposed process**
- **Consensus is that agencies should have this information available and ready to facilitate the reviews**

## Self Assessment

- **This project is ongoing and will look at four main issues**
  - How will a FTI Trading partner establish and maintain an ongoing IT Security self assessment aligned with the new PUB 1075?
  - What requirements will be established that will define the work that must be done in advance and prior to an IRS Safeguard review?
  - What verification requirements tied to the updated Pub 1075 will be established for a Trading Partner to provide electronically to either
    - An on-site Safeguard review?
    - A self-assessment Safeguard review?

## Secure Data Transfer (SDT)

- Provides forum to allow IRS to send encrypted data to states electronically
- The data transfer to the states is fully functional and being used by all agency trading partners. While there are 112 trading partners, some of these are vendors who are not part of this process
- There is still an issue that notifications are not being received by the states. Judy confirmed that this remains an issue
- The other outstanding issue is handling large file sizes, sent to the agencies. There are problems with providing the files.
- There is currently an issue with states being able to produce 36 track tapes. IRS is working with Enterprise Operations to address the incoming data. This is a funding issue for IRS. There is not funding to support the process. While it is ready to go and was targeted for testing in Spring '08, this may not occur until Summer/Fall '08

## Secure Data Transfer (SDT)

- Many states cannot send data to the IRS unencrypted. IRS is handling these on a case by case basis, where agencies may be sending encrypted CDS containing data or have implemented temporary work around processes.
- The TAG SS identified a concern that the data received may change formats. In one instance, the agency was expecting ASCII and received an EBCDIC file. IRS confirmed with TAG SS that the ASCII is the preferred data format and the IRS will be working toward this goal.
- A new contract for SDT is underway and many of the issues will be moved to the discussion table as the contract is re-negotiated

## 2<sup>nd</sup> Computer Security Conference

- Coordinated with FTA to host the 2<sup>nd</sup> Computer Security Conference, as part of the Safeguard conference
  - Date: March 31 – April 4, 2008
  - Location: St. Louis, MO
- Will allow face-to-face meeting with TAG SS representatives, Friday morning
  - TAG SS meeting (open meeting)

## 2008 TAG SS Work Plan

- State Agency Self Assessment
- Safeguard Review Preliminary preparation
- Safeguard Review Info Exchange Requirements
- Safeguard Review Requirements new PUB 1075
- Safeguard Computer Security Evaluation Matrix (SCSEM) Review
- SRFMI Secure Data Upload Test Group
- Secure E-Mail
- Continue to receive new work initiatives
- Update the 2008 work plan as an ongoing effort

## Outstanding Issues

- Remaining SDT Issues
- New PUB 1075 Requirements
- New Safeguard Review Requirements
- New Self Assessment Practices/Outcomes
- New Info Exchange Requirements
- SRFMI Implementation Issues
- Secure E-Mail between IRS and States

## Questions

- **Dr. Ellen Pieklo, CISSP**
  - TAG SS Co-Chair
  - IT Specialist, Cyber Security
  - 585-262-1185
- **Tim Blevins**
  - TAG SS Co-Chair
  - Chief Information Officer, Kansas Department of Revenue
  - 785-296-5041