



Washington Health Benefit Exchange

Information Security Office Update

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Agenda

- Internal Revenue Service (IRS) Safeguards Review
- Questions



Internal Revenue Service Safeguards Review

IRS Office of Safeguards conducts Safeguards Review every three years to verify WAHBE's compliance with Publication 1075, Tax Information Security Guidelines for Federal, State and Local Agencies for protecting Federal Tax Information (FTI) received under the authority of Internal Revenue Code (IRC) § 6103(I)(21)

- Onsite review conducted from April 2nd - 4th, 2024
- First time fully onsite after 2018
- First time with FTI in Modernized Environment



Approach

- Safeguards Review runs on two tracks:
 - Disclosure Enforcement Specialists (DES) conduct physical onsite review focused on program, policies, and processes.
 - Cyber Security Reviewers conduct Information Technology (IT) focused assessments on systems that receive, store, process, transmit FTI.



Readiness

- Conducted dry runs with personnel across Operations, Office of Strategy and Policy, and Information Technology departments.
- Detailed technical reviews of Safeguard Computer Security Evaluation Matrix (SCSEM) with personnel across Information Technology department.



Results

- Closing Conference on April 4th, 2024.
- IRS conducted Preliminary Findings Report (PFR) Review.
 - Improvements since the 2021 IRS Audit:
 - No critical findings.
 - Findings from the Disclosure Enforcement Specialist reduced to 2 categories in 2024 from 4 categories in 2021.
 - Significant improvement in the management, operational, and technical controls that cover IT policies and procedures.
 - Below are the areas for improvement resulting from PFR:
 - Further restrictions of need-to-know access to FTI.
 - Increase employee awareness on safeguarding FTI.
 - Enhance internal inspections of access and audit logs.
 - Strengthen IT infrastructure security.



Next Steps

- IRS to issue the Safeguard Review Report (SRR) within 45-90 days from the closing conference.
- WAHBE to prepare and submit a Corrective Action Plan (CAP); submitted semi-annually (October and April) until all the findings have been closed, reviewed, and accepted by the IRS in accordance with the following IRS Deadlines:

Risk Category	Targeted Timeframe for Resolution	DATE
Critical	3 months from the date of the review closing conference	07/03/2024
Significant	6 months from the date of the review closing conference	10/01/2024
Moderate	9 months from the date of the review closing conference	12/30/2024
Limited	12 months from the date of the review closing conference	04/04/2025



Questions

Thank You



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