

Date of Approval: **November 22, 2019**

PIA ID Number: **4529**

SYSTEM DESCRIPTION

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

IRS Integrated Enterprise Portals, IEP

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?

IRS Integrated Enterprise Portals, IEP, # 3770

What is the approval date of the most recent PCLIA?

1/23/2019

Changes that occurred to require this update:

Significant Merging with Another System

Were there other system changes not listed above?

No

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

Infrastructure Executive Steering Committee (IESC)

Current ELC (Enterprise Life Cycle) Milestones:

Operations & Maintenance (i.e. system is currently operational)

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 Integrated Enterprise Portal (IEP) was designed and implemented to modernize the Internal Revenue Service (IRS) technology platform with a fully scalable, managed private cloud capability to provide a consistent, unified customer experience in a cost-effective manner. The IEP delivers web-based services for internal and external users through several integrated sub-components. The Integrated Enterprise Portal- Public User Portal (IEP-PUP) consists primarily of the www.irs.gov website and was created to be the online presence of the IRS. It is intended to store non-Sensitive But Unclassified (SBU) information that pertains to Treasury Department Publication (TDP) 15-71 regulations and is the organization's anonymous portal. The core functionality of the components and other key information on the www.irs.gov is as follows: disseminate tax news and information; and electronically support the IRS image and mission. The Integrated Enterprise Portal- Registered User Portal (IEP-RUP) is the technical infrastructure which provides the essential security and technology components required for web access to modernized IRS business applications. The IEP-RUP infrastructure is comprised of a web-enabled, electronic commerce infrastructure that provides secure browser-based application services for tax practitioners and taxpayers. The Integrated Enterprise Portal- Transactional Portal Environment (IEP-TPE) is a technology-infrastructure project that provides the essential security and technology components required for secure structure data exchange between the IRS and the Centers for Medicare and Medicaid Services (CMMS) and external transmitters. The Employee User Portal (IEP-EUP) serves as a pass-through mechanism for web-enabled access for IRS employees and registered users to conduct tax administration transactions through both the portal and Enterprise Application Integration Broker (EAIB) systems.

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:

Security Background Investigations

Interfaces with external entities that require the SSN

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

When there is no reasonable alternative means for meeting business requirements

Delivery of governmental benefits, privileges, and services

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

The IEP provides the infrastructure for one-stop, Web-based services with the long-term goal of providing a virtual tax assistance center for internal and external users. This investment enables landing page access to services for taxpayers, businesses, practitioners, electronic return originators and IRS employees. Services enabled by the IEP include easy access to forms and publications, electronic payment transactions, delivery of transcripts, tracking of refunds and amended returns, modernized e-filing, free-file for certain classes of taxpayers, and other electronic services. Ensures the public has access to IRS information that is current and accurate with near real-time updates of more than 110,000 forms, publications, news items, rules, and articles. Supports tax preparer agencies or agent's submissions and reduces paper and person-to-person delays between the IRS and the public to complete a tax transaction. Enables taxpayers and tax preparers to easily find and obtain information and material without calling the IRS. Keeps taxpayers' and tax preparers' information secure at a very high protection level.

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

SSNs provided from external sources are required to be obtained by applications utilizing the Integrated Enterprise Portal- Registered User Portal (IEP-RUP) infrastructure in order for the applications to appropriately process transactions from external sources. The Integrated Enterprise Portal (IEP) does not have the ability to change any data from an external source that passes through the IEP-RUP infrastructure. This data is not permanently stored in the IEP-RUP environment. The IEP-RUP serves as a pass through for the data to be stored at IRS data centers. The IRS backend applications utilize this data. Integrated Enterprise Portal- Transactional Portal Environment (IEP-TPE) and the International Compliance Management Model - International Data Transfer (ICMM-IDT) handle this PII data in transit within the IEP environment and do not store this PII information on any persistent storage device during processing.

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

E-mail Address

Date of Birth

Standard Employee Identifier (SEID)

Internet Protocol Address (IP Address)

Financial Account Numbers

Tax Account Information

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 which if improperly used or disclosed could adversely affect the ability of the agency to accomplish its mission

Protected 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

Are there other types of SBU/PII used in the system?

Yes

Describe the other types of SBU/PII that are applicable to this system.

Federal Tax Information

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

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.

SBU/PII provided from external sources are required to be obtained by applications utilizing the IEP-RUP infrastructure in order for the applications to appropriately process transactions from external sources. IEP does not have the ability to change any data from an external source that passes through the IEP-RUP infrastructure. This data is not permanently stored in the IEP-RUP environment. The IEP-RUP serves as a pass through for the data to be stored at IRS data centers. The IRS backend applications utilize this data. IEP-ACA TPE and ICMM-IDT handle this PII data in transit within the IEP environment and do not store this PII information on any persistent storage device during processing.

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

The Integrated Enterprise Portal- Public User Portal (IEP-PUP): The SEID and User Identifications (USERIDs) are verified for accuracy against the user credentials stored in the IEP Identity and Access Management (IAM) system and any incorrect data is flagged through a ticketing process. Employee e-mail addresses and phone numbers posted through the Content Management System (CMS) are verified and validated through management review process. Any inaccuracies would be noted either by the public and be reported through the Portal Help Desk. Any inaccuracies would be promptly corrected by CMS users. The Integrated Enterprise Portal- Registered User Portal (IEP-RUP): The IEP-RUP

components will not process or permanently store PII data. The SEID and USERIDs are verified for accuracy against the user credentials stored in the IEP Identity and Access Management (IAM) system. The IEP-RUP components will temporarily store authorized user transactional data (name, SSN, TIN, Address, Date of Birth). Preparer Tax Identification Number (PTIN) information is not retained in IEP-RUP. However, PTIN information passes through IEP-RUP to an IRS backend server. The IEP-RUP portal application sends a message to the IRS backend which retrieves the file. International Compliance Management Model - International Data Transfer (ICMM-IDT): ICMM-IDT scans incoming files to ensure that it does not contain a malicious payload and then passes it between International Data Exchange Service (IDES) and IRS ICMM Foreign Account Tax Compliance Act (FATCA) Information Retention (ICMM-FIR). The PII in the information that passes through ICMM-IDT is considered data in transit within the IEP-RUP environment. The Integrated Enterprise Portal- Transactional Portal Environment (IEP-TPE): The SEID and USERIDs are verified for accuracy against the user credentials stored in the IEP Identity and Access Management (IAM) system. The IEP-TPE components will not store PII data at any time on any persistent media.

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 34.037 Audit Trail and Security Records

IRS 36.003 General Personnel and Payroll Records

IRS 37.111 Preparer Tax Identification Number Records

IRS 00.001 Correspondence Files and Correspondence Control Files

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: IRS-ESB (Enterprise Service Bus)

Current PCLIA: Yes

Approval Date: 8/30/2018

SA&A: Yes

ATO/IATO Date: 5/10/2018

System Name: FATCA ICMM (International Compliance Management Model)

Current PCLIA: Yes

Approval Date: 6/15/2017

SA&A: Yes

ATO/IATO Date: 5/2/2018

System Name: IRS-BRMG (Bulk Request Manager Gateway)

Current PCLIA: Yes

Approval Date: 8/30/2018

SA&A: Yes

ATO/IATO Date: 5/10/2018

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?

Yes

Identify the source that sends the SBU/PII, how the SBU/PII is transmitted and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

Organization Name: International Data Exchange Service (IDES)

Transmission Method: Third Party Source

ISA/MOU: Yes

Does the system receive SBU/PII from Taxpayer forms?

Yes

Please identify the form number and name:

Form Number: Form 8966 Form Name: Foreign Account Tax Compliance Act (FATCA) Report

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

No

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: FATCA ICMM

Current PCLIA: Yes

Approval Date: 6/15/2017

SA&A: Yes

ATO/IATO Date: 5/2/2018

Identify the authority

IEP Authority to Operation (ATO) was signed by Authorizing Official on May 2, 2018.

For what purpose?

The IEP provides the infrastructure for one-stop, Web-based services with the long-term goal of providing a virtual tax assistance center for internal and external users. This investment enables landing page access to services for taxpayers, businesses, practitioners, electronic return originators and IRS employees. Services enabled by the IEP include easy access to forms and publications, electronic payment transactions, delivery of transcripts, tracking of refunds and amended returns, modernized e-filing, free-file for certain classes of taxpayers, and other electronic services. Ensures the public has access to IRS information that is current and accurate with near real-time updates of more than 110,000 forms, publications, news items, rules, and articles. Supports tax preparer agencies or agent's submissions and reduces paper and person-to-person delays between the IRS and the public to complete a tax transaction. Enables taxpayers and tax preparers to easily find and obtain information and material without calling the IRS. Keeps taxpayers' and tax preparers' information secure at a very high protection level.

Does this system disseminate SBU/PII to other Federal agencies?

Yes

Identify the full names of the federal agency(s) that receive SBU/PII from this system, and if there is an Inter-Agency Agreement (ISA) / Memorandum of Understanding (MOU).

Organization Name: Centers for Medicare and Medicaid Services

Transmission Method: transmit XML data through encrypted tunnels

ISA/MOU: Yes

Identify the authority

IEP Authority to Operation (ATO) was signed by Authorizing Official on May 2, 2018.

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

Disclosure of returns and return information is being made only as provided by 26 U.S.C. 6103.

For what purpose?

The IEP provides the infrastructure for one-stop, Web-based services with the long-term goal of providing a virtual tax assistance center for internal and external users. This investment enables landing page access to services for taxpayers, businesses, practitioners, electronic return originators and IRS employees. Services enabled by the IEP include easy access to forms and publications, electronic payment transactions, delivery of transcripts, tracking of refunds and amended returns, modernized e-filing, free-file for certain classes of taxpayers, and other electronic services. Ensures the public has access to IRS information that is current and accurate with near real-time updates of more than 110,000 forms, publications, news items, rules, and articles. Supports tax preparer agencies or agent's submissions and reduces paper and person-to-person delays between the IRS and the public to complete a tax transaction. Enables taxpayers and tax preparers to easily find and obtain information and material without calling the IRS. Keeps taxpayers' and tax preparers' information secure at a very high protection level.

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?

No

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 {MM/DD/YYYY}

8/23/2013

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?

Moderate

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?

Individuals are notified via the IRS privacy policy statements. Notice, consent and due process are provided via the IRS systems and their related tax forms instructions and pursuant to Title 5 USC.

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

Yes

Describe the mechanism by which individuals indicate their consent choice(s):

The Integrated Enterprise Portal- Public User Portal (IEP-PUP): The www.irs.gov web pages are the primary source of public tax information. On pages where website visitors voluntarily request information, publications, refund status, or other information, an appropriate application-specific privacy statement is posted. Each statement informs the visitor of the information being requested; why it is being requested; how it will be used and maintained; and, the impact if the information requested is not provided. Each page of IRS.gov provides a link to the IRS Web Privacy Policy as well as links to taxpayers' rights under the Privacy Act and other privacy protection statutes. Departure Notices are available for all viewers when leaving an IRS site.

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

Notice, consent and due process are provided via the IRS systems and their related tax forms instructions and pursuant to Title 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)

Contractor Owned and Operated

The following people have access to the system with the specified rights:

IRS Employees

Users: Read Write

IRS Contractor Employees

Contractor System Administrators: Read Write

Contractor Developers: Read Write

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

Individuals access user IDs only when reviewing the audit logs for all components of the IEP. Access to audit logs is restricted to only appropriate individuals to prevent unauthorized deletion or change of audit events. Access to PII information for the entire IEP is based on least privilege and role that the user has on the project. In order to request access to a system that has PII, a user must create a service request in the ticketing system. Upon approval, the system lead will authorize the designated Active Directory system administrator to provision access to the user for the requested system. All access request tickets are monitored and tracked in the ticketing system. When the user no longer requires access to the system, the user or user's team lead will create a service request in the ticketing system to disable the user's access to the system. The FATCA ICMM-IDT solution does not permit system administrators to interact with traffic being validated and does not store PII data within the IEP environment. A potential user will request access via the IEP ServiceNow Access Request System. This request has to be approved by the potential user's manager based on a user's position and need-to-know.

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.

IEP recordkeeping data is approved for destruction in accordance with NARA Job No. N1-58-06-1, as approved July 3, 2006, for the "old" Public User Portal (IEP-PUP, IR Web).

Final disposition instructions for web content records, as well as management and operations records, are published under Document 12990, item 25 Records Control Schedule for Information Technology. All records housed in the system will be erased or purged from the system at the conclusion of their retention period(s) as required under IRM 1.15.6 Managing Electronic Records. IEP-RUP, to include ICMM-IDT, are non-recordkeeping and do not require any additional scheduling actions. Audit logs, however, are maintained in accordance with General Records Schedule (GRS) 3.2, Item 030 (published in IRS Document 12829) and will be deleted/destroyed when they are no longer needed for administrative, legal, audit, or other operational purposes. Further guidance for the capture and retention of audit-related records is found in IRM 1.15 and IRM 10.8.3 Audit Logging Security Standards, section 10.8.3.2.2.

SA&A OR ASCA

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

Yes

What date was it completed?

5/2/2018

Describe the system's audit trail.

The IEP audit trail capability is documented in detail in the IEP System Security Plan. This document and related security documents which contain IEP audit information are regularly updated and reviewed. Integrated Enterprise Portal (IEP) systems are connected to a centralized log management solution. Auditable events are transmitted via secured connections for real-time analysis of security alerts generated by network devices, hardware and applications. Logs and alerts are analyzed, correlated, classified, and interpreted by security analysts. The collection and management of auditable data complies with IRS, Treasury, and other federal requirements which require the following data elements to be audited.

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)?

The test results are stored in Treasury FISMA Inventory Management System (TFIMS).

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?

The Annual Security Controls Assessment (ASCA) conducted by IRS Certification Program Office (CPO).

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: Under 50,000

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.

Not Applicable