

Date of Approval: 04/22/2025
Questionnaire Number: 2253

Basic Information/Executive Summary

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

Enterprise Data Platform - ECM/ECR Ingestion onto EDP

Acronym:

EDP - ECM/ECR

Business Unit

Information Technology

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.

Enterprise Data Platform (EDP) Treasury Cloud (TCloud) will ultimately contain source data from all major tax processing systems as well as supporting data necessary to conduct the Internal Revenue Service (IRS) mission. EDP will serve as the main source of integrated taxpayer data for transactional and analytical needs. EDP will utilize Amazon Web Services (AWS) Databricks, Marketplace Application Programming Interface (API), Redshift, MongoDB and third-party software such as Business Objects and Informatica. EDP TCloud will also integrate with IRS common services such as Negative Taxpayer Identification Number (NTIN). The data will only be accessible to authorized IRS personnel users that have gone through the Business Entitlement Access Request System (BEARS) approval process and will only be provided access for their specific role. EDP Release 5.0.1 will provide Enterprise Case Management (ECM) Exam

application users access to Exam Case data. EDP will provide the ability to store exam case data for modernized data access in a structured manner. ECM/ECR Release 1 will be comprised of the ingestion of Exam Case data as raw data into the Databricks Bronze zone.

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).

EDP receives sensitive data as-is from authorized IRS systems, and to that extent, the data is covered by the legal statutes already in place for collection and use of this data by IRS. EDP will inherit the mitigation/elimination processes in place by the IRS to eliminate the use sensitive data. Use of the data will be made available only to authorized business users with its corresponding BEARS entitlements.

The duration for which this data will be stored on EDP, is dependent on the applicable data retention requirements established by Records and Information Management (RIM) and National Archives and records Administration (NARA), and these requirements will be met.

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

Employer Identification Number

Federal Tax Information (FTI)

Individual Taxpayer Identification Number (ITIN)

Name

Social Security Number (including masked or last four digits)

Vehicle Identification Number (VIN)

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

Information by CI for certain money laundering cases - 18 USC

PII about individuals for Bank Secrecy Act compliance - 31 USC

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

SSN for tax returns and return information - IRC section 6109

Product Information (Questions)

1 Is this PCLIA a result of a specific initiative or a process improvement?

Yes

1.1 What is the name of the Business Unit (BU) or Agency initiative?

4.3: Improve Technology Operations | EDP program number is PGM0001196

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

Database

3 What Tier designation has been applied to your system? (Number)

2

4 Is this a new system?

No

4.1 Is there a previous Privacy and Civil Liberties Impact Assessment (PCLIA) for this project?

Yes

4.11 What is the previous PCLIA number?

1498

4.12 What is the previous PCLIA title (system name)?

Enterprise Data Platform

4.2 You have indicated this is not a new system; explain what has or will change and why. (Expiring PCLIA, changes to the PII or use of the PII, etc.)

Release 5.0.1 will provide ECM Exam application users access to Exam Case data. Release 1 will be comprised of the ingestion of Exam Case data as raw data into the Databricks.

5 Is this system considered a child system/application to another (parent) system?

No

6 Indicate what OneSDLC State is the system in (Allocation, Readiness, Execution) or indicate if you go through Information Technology's (IT) Technical Insertion Process and what stage you have progressed to.

Execution

7 Is this a change resulting from the OneSDLC process?

Yes

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

Enterprise Services Governance Board (ESGB)

9 If the system is on the As-Built-Architecture (ABA), what is the ABA ID number of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID number(s) for each application covered separated by a comma. If the system is not in the ABA, then contact the ABA (<https://ea.web.irs.gov/aba/index.html>) for assistance.

211416

10 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?

No

10.1 You have indicated that you do not have an "accounting of disclosures" process in place; please indicate a projected completion date or explain the steps taken to develop your accounting of disclosures process. Note: The Office of Disclosure should be contacted to develop this system's accounting of disclosures process.

Not Applicable

11 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 and 14110?

No

12 Does this system use cloud computing?

Yes

12.1 Please identify the Cloud Service Provider (CSP), FedRAMP Package ID, and date of FedRAMP authorization.

Treasury Cloud/Workplace.gov Community Cloud FedRAMP High
(TCloud/WC2-H) FR1801046750 03/02/2020

12.2 Does the CSP allow auditing?

Yes

12.21 Who has access to the CSP audit data (IRS or 3rd party)?

IRS, TIGTA, GAO

12.3 Please indicate the background check level required for the CSP (None, Low, Moderate or High).

Moderate

13 Does this system/application interact with the public?

No

14 Describe the business process allowing an individual to access or correct their information. (Due Process)

The access and correction of taxpayer information are handled by the data source systems which are the IRS's system of record. EDP receives the information from the source systems. To that extent each source system ensures "due process" on information access, correction and redress. EDP, as the receiver of the data, inherits the compliance policies of that respective IRS data source system.

15 Is this system owned and/or operated by a contractor?

Yes

15.1 If a contractor owns or operates the system, does the contractor use subcontractors; or do you require multiple contractors to operate, test, and/or maintain this system?

Yes

15.2 What PII/SBU data does the subcontractor(s) have access to?

Address, Email Address, Employer Identification Number, Federal Tax Information (FTI), Individual Taxpayer Identification Number (ITIN), Name, Social Security Number (including masked or last four digits) and Vehicle Identification Number (VIN). (FTI and TIN require Live data waiver for all users).

16 Identify what role(s) the IRS and/or the contractor(s) performs; indicate what access level (to this system's PII data) each role is entitled to. (Include details about completion status and level of access of the contractor's background investigation was approved for.)

Contractor/Subcontractor User: Read-only, access. Moderate background investigation level. Contractor/Subcontractor Managers: Read-only, access. Moderate background investigation level. Contractor/Subcontractor System Administrators: Administrator access; Moderate background investigation level. Contractor/Subcontractor Developers: Read and write access. Moderate background investigation level. Contractor/Subcontractor Testers: Read-only, access. Moderate background investigation level. Only contractors/subcontractors with completed background investigation will have access to SBU/PII data on EDP.

17 The Privacy Act of 1974 (5 USC § 552a(e)(3)) requires each agency that maintains a system of records, to inform each individual requested to supply information about himself or herself. Please provide the Privacy Act Statement presented by your system or indicate a Privacy Act Statement is not used and individuals are not given the opportunity to consent to the collection of their PII.

Not applicable because EDP does not interact with the public. EDP receives information from the IRS data source systems. EDP only stores data from authoritative systems. EDP does not give individual notice and leverages the notice and consent processes already in place by the authoritative source systems.

18 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".
More than 100,000

19 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".
More than 10,000

20 How many records in the system are attributable to members of the public? Enter "Under 100,000", "100,000 to 1,000,000", "More than 1,000,000" or "Not applicable".
More than 1,000,000

21 Identify any "other" records categories not attributable to the categories listed above; identify the category and the number of corresponding records, to the nearest 10,000; if no other categories exist, enter "Not Applicable".
Not Applicable

22 How is access to SBU/PII determined and by whom?
Only cleared individuals on a need-to-know basis with the corresponding BEARS entitlements and Live Data Waivers with permission granted per the requirements of Form 14664, SBU Data Use Questionnaire. or Form 14665, SBU Data Access Request, will have access to SBU/PII.

23 Is there a data dictionary on file for this system? Note: Selecting "Yes" indicates an upload to the Attachment Section is required.
Yes

24 Explain any privacy and civil liberties risks related to privacy controls.
Security risks are identified on EDP by vulnerability scans using Orca prior to and post-production. Any identified security vulnerabilities will be mitigated within the timeframes dictated by IRS Cyber.

25 Please upload all privacy risk finding documents identified for the system (Audit trail, RAFT, POA&M, Breach Plan, etc.); click "yes" to confirm upload(s) are complete.
Yes

26 Describe this system's audit trail in detail. Provide supporting documents.

ECM/ECR is processed using Databricks. Databricks notebooks changes are being audited - audit logs go to S3, Cloudwatch, and Splunk.

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

Yes

27.1 Please upload the Approved Email and one of the following SBU Data Use Forms, Questionnaire (F14664) or Request (F14665) or the approved Recertification (F14659). Select Yes to indicate that you will upload the Approval email and one of the SBU Data Use forms.

Yes

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Negative Taxpayer Identification Number (NTIN)

Incoming/Outgoing

Both

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Modernized Tax Return Database (MTRDB)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Duplicate Taxpayer Identification Numbers Online (DUPTIN)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Coverage Data Repository (CDR)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Employee Plans Master File (EPMF)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Direct Debit Installment Agreement (DDIA)

Incoming/Outgoing

Both

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Enterprise Case Management (ECM) - Enterprise Case Repository (ECR)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Chapter Three Withholding (CTW)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Modernized Integrated Custodial Accounting (MICA)
Incoming/Outgoing
Both
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database
Agency Name
Individual Return Transaction File (IRTF)
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Employee Tax Exemption Program (ETEP)
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Aggregated Information Returns (AIR)
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Payer Master File (PMF)
Incoming/Outgoing
Incoming (Receiving)

Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
National Account Profile (NAP)
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Individual Returns Master File (IRMF)
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Foreign Account Tax Compliance Act (FATCA)
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Individual Master File Entity and Tax Module (IMF)
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Dependent Database (DDB)
Incoming/Outgoing
Both

Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database
Agency Name
Business Return Transaction File (BRTF)
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Combined Annual Wage Reporting (CAWR)
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Data Master-1 File
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database
Agency Name
Direct File
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database
Agency Name
Information Technology Operational Reporting (ITOR) (IPM)
Incoming/Outgoing
Incoming (Receiving)

Transfer Method

Integrated Enterprise Portal (IEP)

Interface Type

IRS Systems, file, or database

Agency Name

Customer Account Data Engine 2 (CADE2 ODS)

Incoming/Outgoing

Both

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Clean Energy (CE)

Incoming/Outgoing

Both

Transfer Method

Other

Other Transfer Method

Application Programming Interface (API)

Interface Type

IRS Systems, file, or database

Agency Name

Business Master File (BMF)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Information Return Database (IRDB)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Other Transfer Method

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 22.061 - Information Return Master File

Describe the IRS use and relevance of this SORN.

IRMF data will be used to support the individual taxpayer return needs of LB&I, EAD, PGLD Data Exchange, RRP, Direct File, BTA, and IOLA.

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.

ECM will use taxpayer case records to serve the business return needs of Large Business and International (LB&I), Enterprise Anomaly Detection (EAD), Privacy, Governmental Liaison, and Disclosure (PGLD) Data Exchange, Return Review Program (RRP), Direct File, Business Tax Account (BTA), and Individual Online Account (IOLA).

SORN Number & Name

IRS 37.006 - Correspondence, Miscellaneous Records, and Information Management Records

Describe the IRS use and relevance of this SORN.

ECM will use taxpayer case records to serve the business return needs of LB&I, EAD, PGLD Data Exchange, RRP, Direct File, BTA, and IOLA.

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

BMF data will be used to serve the business return needs of LB&I, EAD, PGLD Data Exchange, RRP, Direct File, BTA, and IOLA.

SORN Number & Name

IRS 22.062 - Electronic Filing Records

Describe the IRS use and relevance of this SORN.

ECM/ECR collects taxpayer data to serve the business return needs of LB&I, EAD, PGLD Data Exchange, RRP, Direct File, BTA, and IOLA.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Information Systems Security Records

What is the GRS/RCS Item Number?

3.2 Item 30 and 31

What type of Records is this for?

Electronic

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

EDP will monitor and capture records as part of the user identification and authorization process to gain access to systems (System Access Records (AU 11)). Currently, access to EDP requires corresponding BEARS entitlements. *** EDP is in process of working with the IRS RIM office to determine and finalize retention schedules for data residing on the Platform.

What is the disposition schedule?

All data meeting end of retention period requirements will be eliminated, overwritten, degaussed, and/or destroyed in accordance with National Archives and Records Administration (NARA)-approved disposition authorities for that system's data and done so in the most appropriate method based upon the type of storage media used in accordance with IRM 1.15.6.10.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Tax Administration Collection (Online Payment Agreement (OPA))

What is the GRS/RCS Item Number?

28 Item 158

What type of Records is this for?

Electronic

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

Direct Debit Installment Agreements (DDIA) (Form 433 Series) and related documents are records used by Compliance function taxpayer contact personnel to set up an agreement between the IRS and the taxpayer. The completed form permits the taxpayer to pay delinquent taxes through installment payments.

What is the disposition schedule?

Destroy immediately after 12 years. All data meeting end of retention period requirements will be eliminated, overwritten, degaussed, and/or destroyed in accordance with National Archives and Records Administration (NARA)-approved disposition

authorities for that system's data and done so in the most appropriate method based upon the type of storage media used in accordance with IRM 1.15.6.10

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Transitory and Intermediary Records

What is the GRS/RCS Item Number?

5.2 Item 20

What type of Records is this for?

Electronic

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

EDP will receive ECM/ECR extracts from IRS on-premises mainframe to support the individual and business return needs of LB&I, EAD, PGLD Data Exchange, RRP, Direct File, BTA and IOLA to be used for transactional and/or analytical purposes. *** EDP is in process of working with the IRS RIM office to determine and finalize retention schedules for all data residing on the Platform.

What is the disposition schedule?

All data meeting end of retention period requirements will be eliminated, overwritten, degaussed, and/or destroyed in accordance with National Archives and Records Administration (NARA)-approved disposition authorities for that system's data and done so in the most appropriate method based upon the type of storage media used in accordance with IRM 1.15.6.10.

Data Locations

What type of site is this?

System

What is the name of the System?

Enterprise Data Platform (EDP)

What is the sensitivity of the System?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

Not Applicable

Please provide a brief description of the System.

EDP TCloud will ultimately contain source data from all major tax processing systems as well as supporting data necessary to conduct the IRS mission. EDP TCloud will serve as the main source of integrated taxpayer data for analytical needs. EDP TCloud will utilize Amazon Web Services Databricks, Marketplace API,

Redshift and third-party software such as Informatica, Business Objects and Tableau. Authorized IRS personnel will use analytical tools such as Business Objects and Tableau to generate reports leveraging the taxpayer data. EDP TCloud will also integrate with IRS common services such as NTIN to prevent the unauthorized access to taxpayer data. EDP TCloud platform currently hosts multiple datasets - DDIA (Direct Debit Installment Agreement), CADE2 ODS (Individual Taxpayer Information), TAMS (Tax Account Management Services), MICA (Modernized Individual Custodial Accounting), BMF (Business Master File), IRMF (Individual Return Masterfile), Clean Energy (CE), and Direct File. Furthermore, new data APIs were deployed, enabling Read/Write Access to Business Taxpayer Account (BTA) and Clean Energy (Clean Vehicle Credits) users. All data on-boarded onto EDP will only be accessible to authorized IRS personnel users that have gone through the Business Entitlement Access Request System (BEARS) approval process and only be provided access for their specific role.

What are the incoming connections to this System?

DDIA (Direct Debit Installment Agreement), CADE2 ODS (Individual Taxpayer Information), TAMS (Tax Account Management Services), MICA (Modernized Individual Custodial Accounting), BMF (Business Master File), IRMF (Individual Return Masterfile), Clean Energy (CE), Direct File, and Modernized Tax Return Database (MTRDB), Individual Return Transaction File (IRTF), Business Return Transaction File (BRTF), Data Master 1 (DM “ 1), Information Return Database (IRDB), Employee Plans Master File (EPMF), Employment Tax Exemption Project (ETEP), Combined Annual Wage Reporting (CAWR), Coverage Data Repository (CDR), Chapter Three Withholding (CTW), Aggregated Information Return (AIR), Foreign Account Tax Compliance Act (FATCA), Duplicate TIN Online (DUPTIN), Payer Master File (PMF), Individual Master File (IMF), National Account Profile (NAP), Information Technology Operational Reporting (ITOR), Enterprise Case Management (ECM)/Enterprise Case Repository (ECR) via EFTU, Secured Channel via HTTPS, Informatica IEP, or APIs.

What are the outgoing connections from this System?

DDIA (Direct Debit Installment Agreement), TAMS (Tax Account Management Services), MICA (Modernized Individual Custodial Accounting), BMF (Business Master File), IRMF (Individual Return Masterfile), Clean Energy (CE) via EFTU, Informatica IEP, or APIs.