

Date of Approval: 02/07/2025
Questionnaire Number: 1654

Basic Information/Executive Summary

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

IRS Integrated Enterprise Portal

Acronym:
IEP

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.

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 four portals, each with numerous sub-applications. Each sub-application has its own PCLIA. Please see the attached documentation for a full list of sub-applications: - Public User Portal (IEP-PUP) - the online presence of the IRS, IRS.gov, that allows unrestricted public access to non-sensitive materials and applications, including forms, instructions, news, and tax calculators. No authentication is required for access to any materials on the IEP-PUP. 16 of the 18 PUP Web Applications are deployed within the AWS US GovCloud IaaS. There are 18 applications hosted in this portal. - Registered User

Portal (IEP-RUP) - 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. There are 20 applications hosted in this portal. - 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. For example, disclosures for third-party income verification using the Income Verification Express Service (IVES), a fully automated verification through the Internet in as close to real-time as practicable. IEP-EUP contains two separate functions, the Customer Service Representative (CSR) Portal and the Business Portal. There are 15 applications hosted in this portal. - Transactional Portal Environment (IEP-TPE) - the technology-infrastructure 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. There are 10 applications hosted in this portal.

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).

Front end web hosting - which are made up RUP PUP and EUP portals applications. These services are limited to providing web presentation and application processing of PII included in the applications operations. For these applications IEP components collect, process and present PII to application consumers but do not permanently store PII data used in the operations and is transient while in use by volatile memory. PII existence within the components are limited to existing at compute time only. Long term storage is within IRS backend hosted system databases and mainframes NOT hosted by IEP. Transfer between compute processing and down stream storage layers is protected by TLS. IEP hosted cloud systems - These hosted applications host an application's full stack of architecture components. They include web, compute, and data storage layers. Life cycles include collection by the web layer, processing and use at the compute layer, long term storage at the database layer. PII is transient at the web and compute layer while in use within volatile memory. Data needed for recall and long-term storage is stored within the applications database layer. Storage lifecycles within the database are maintained and managed by individual

IRS application teams. IEP management of this layer only extends to back-up and database administration and optimization, it does not extend to in database data lifecycle management this is the responsibility of the IRS application team including data destruction. Database disk is encrypted at rest. PII in Logging - This data is managed and protected by text encryption and is not accessible to users for plain text use. The general policy for this data is online 18 months for analytics and monitoring, and 7 years on offline storage. PII is only contained withing a subset of logs needed to meet Enterprise System Audit Trails (ESAT) requirements.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Address
Centralized Authorization File (CAF)
Email Address
Employment Information
Financial Account Number
Internet Protocol Address (IP Address)
Medical History/Information
Name
Other
Standard Employee Identifier (SEID)
Tax ID Number
Vehicle Identification Number (VIN)

Please explain the other type(s) of PII that this project uses.

Phone numbers, Date of birth

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

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

Product Information (Questions)

1.1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?

No

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

System

1.35 Is there a data dictionary for this system?

No

1.36 Explain in detail how PII and SBU data flow into, through and out of this system.

IEP delivers services for internal and external users through four portals and additional sub-applications. These portals include IEP-PUP, IEP-RUP, IEP-EUP, and IEP-TPE. At this time, there is no PII/SBU data hosted or available through PUP. While IEP-RUP and IEP-EUP do process PII, FTI and SBU data, it is transactional in nature and not permanently stored in either Portal. PII, FTI and SBU data is stored in IRS hosted backend systems where taxpayer data is centrally stored. IEP-TPE facilitates structured data transfers between the IRS Backend and Centers for Medicare and Medicaid Services (CMMS) systems or external transmitters. The IEP-TPE leverages the IEP-RUP infrastructure for security tools, network and storage infrastructure, and system monitoring. IEP Portals host all portions of their applications within IEP AWS GovCloud. All system activity is logged in Splunk and monitored by the IEP Monitoring Team, along with a copy sent to IRS centralized log aggregation platform ESAT. The IEP Portals do not store PII, FTI or SBU data. Approved data retention and destruction schedules are followed at the sub-application level.

1.4 Is this a new system?

No

1.5 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this system?

Yes

1.6 What is the PCLIA number?

8401

1.7 What are the changes and why?

Significant System Management Changes

1.8 If the system is on the As-Built-Architecture, what is the ABA ID of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID for each application covered separated by a comma.

Not Applicable

1.9 What OneSDLC State is the system in (Allocation, Readiness, Execution)?

Execution

1.95 If this system has a parent system, what is the PCLIA Number of the parent system?

Not Applicable

2.1 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? Contact Disclosure to determine if an accounting is required. Enter "Yes" or "No". If Exempt, type "Exempt".

Yes

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

Infrastructure Executive Steering Committee (IESC)

3.1 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?

Yes

3.2 What is the methodology used and what database is training your AI?

Google Document AI (For DEP only)

3.3 Does this system use cloud computing?

Yes

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

Cloud Service Provider- AWS GovCloud FedRAMP Package ID- F1603047866

FedRAMP Date- 06/21/2016 Cloud Service Provider- Google Services FedRAMP

Package ID- FR1805751477 FedRAMP Date- 12/04/2019

3.32 Does the CSP allow auditing?

Yes

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

3rd Party

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

Moderate

3.4 Is there a breach/incident plan on file?

Yes

3.5 Does the data physically reside in systems located in the United States and its territories and is all access and support of this system performed from within the United States and its territories?

Yes

3.6 Does this system interact with the public through a web interface?

Yes

3.61 If the system requires the user to authenticate, was a Digital Identity Risk Assessment (DIRA) conducted?

No

3.7 Describe the business process allowing an individual to access or correct their information.

Notice, consent and due process are provided via the IRS systems and their related tax forms and instructions pursuant to Title 5 USC. Any information collected is done so while carrying out the Internal Revenue laws of the United States. Taxpayer information is stored and modified at the application layer, please reference to the relevant application PCLIA's for additional information.

4.1 Who owns and operates the system (IRS Owned and Operated, IRS Owned and Contractor Operated, Contractor Owned and Operated)?

Contractor owned and operated

4.2 If a contractor owns or operates the system, does the contractor use subcontractors?

Yes

4.3 What PII/SBU data does the subcontractor have access to?

Contractor Access Level Contractor Users: No Access Contractor Managers: No Access Contractor Sys. Admin: Read and Write Access - High Background Investigation Level Contractor Developers: Read and Write Access - High Background Investigation Level Access to the Integrated Enterprise Portals (IEP) is requested via BEARS ticketing request. Access is granted based on business use case. (audit logs and/or IEP data) The enrollment process requires that an authorized manager approve access requests on a case-by-case basis. Access approval is based on the Users role(s) and responsibilities. Users are given the minimum set of privileges required to perform their regular and recurring work assignments; they are restricted from changing the boundaries of their access without management approval. The employee's access will be terminated once they no longer require access.

4.5 Identify the roles and their access level to the PII data. For contractors, indicate whether their background investigation is complete or not.

IRS Employee Access Level IRS Users: Read and Write IRS Manager: No Access IRS Sys. Admin: No Access IRS Developers: No Access Contractor Access Level Contractor Users: No Access Contractor Managers: No Access Contractor Sys. Admin: Read and Write Access - High Background Investigation Level Contractor Developers: Read and Write Access - High Background Investigation Level The employee's access will be terminated once they no longer require access. Access to Business and CSR Portals are determined by their roles of the employees and maintained through BEARS (Business Entitlement Access Request System) which is approved by managers and then by system administrators. Access is based on hierarchy roles and permissions. Access to IRIS Portal is determined by the roles of the employees and maintained through

BEARS which is approved by managers and then by system administrators. Access is based on hierarchy roles and permissions. The FATCA ICM-ITD and MeF Resiliency solutions do not permit system administrators to interact with traffic being validated and does not store PII data within the IEP environment. Access to the data is determined by the System Administrator based on a user's position and need-to-know. Contractors, including Developers, will not have direct access to the Two Factor Authentication (TFA) ICM production system or database. Only IRS System Administrators will have access to the production environment. Information requested by the Treasury Inspector General for Tax Administration must be properly vetted and cleared for release.

4.51 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".

Under 50,000

4.52 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

4.53 How many records in the system are attributable to members of the public? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not Applicable".

More than 1,000,000

4.54 If records are attributable to a category not mentioned above in 4.51 through 4.53, please identify the category and the number of corresponding records to the nearest 10,000. If none, enter "Not Applicable".

Not Applicable

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

Access to the Integrated Enterprise Portals (IEP) is requested via BEARS ticketing request. Access is granted based on business use case. (audit logs and/or IEP data) The enrollment process requires that an authorized manager approve access requests on a case-by-case basis. Access approval is based on the Users role(s) and responsibilities. Users are given the minimum set of privileges required to perform their regular and recurring work assignments; they are restricted from changing the boundaries of their access without management approval.

5.1 Please describe any privacy risks, civil liberties and/or security risks identified for the system that need to be resolved and what is the mitigation plan?

Not Applicable

5.11 Is there a Risk Assessment Form and Tool (RAFT) associated with this system on file with your organization or the IRS Risk Office.

Yes

5.2 Does this system use or plan to use SBU data in a non-production environment?
No

5.3 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.
No

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

EUP - Employee User Portal

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Integrated Enterprise Portal (IEP)

Interface Type

IRS Systems, file, or database

Agency Name

PUP - Public User Portal

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Integrated Enterprise Portal (IEP)

Interface Type

IRS Systems, file, or database

Agency Name

FATCA - Foreign Account Tax Compliance

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Integrated Enterprise Portal (IEP)

Interface Type

IRS Systems, file, or database

Agency Name

ACA - Affordable Care Act

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Integrated Enterprise Portal (IEP)

Interface Type

IRS Systems, file, or database

Agency Name

RUP - Registered User Portal

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Integrated Enterprise Portal (IEP)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

GSS-IEP processes electronic records on-behalf of hosted applications, audit trails associated with this processing are sent to IRS ESAT for central log aggregation.

SORN Number & Name

IRS 22.062 - Electronic Filing Records

Describe the IRS use and relevance of this SORN.

Underlying storage components within GSS-IEP may be used to store or process Electronic Filing Records on behalf of hosted applications.

SORN Number & Name

IRS 42.021 - Compliance Programs and Projects Files

Describe the IRS use and relevance of this SORN.

Underlying storage components within GSS-IEP may be used to store or process compliance files on behalf of hosted applications.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

System Access Records

What is the GRS/RCS Item Number?

GRS 3.2 item 30

What type of Records is this for?

Both (Paper and Electronic)

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

These records are created as part of the user identification and authorization process to gain access to systems.

What is the disposition schedule?

Destroy when business use ceases.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Taxpayer Services

What is the GRS/RCS Item Number?

RCS 29 items 85

What type of Records is this for?

Both (Paper and Electronic)

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

Information Returns and related documents submitted by domestic and foreign firms to advise the names, amounts and types of income paid to individuals.

What is the disposition schedule?

All records will be destroyed in accordance with the applicable Records Control Schedules disposition.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Taxpayer Services

What is the GRS/RCS Item Number?

RCS-29 item 87

What type of Records is this for?

Both (Paper and Electronic)

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

Undelivered Information Returns (Copy B).

What is the disposition schedule?

Returns transmitted by employers, payers and nominees to the service center (Foreign W-2). AUTHORIZED DISPOSITION Destroy January 2 following the year in which prepared. (2) All Forms 1099 issued by Treasury, if research indicates no new address and no DLN is located to associate with the form. AUTHORIZED DISPOSITION Destroy upon receipt.

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

System Access Records

What is the GRS/RCS Item Number?

GRS 3.2 item 31

What type of Records is this for?

Both (Paper and Electronic)

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

These records are created as part of the user identification and authorization process to gain access to systems.

What is the disposition schedule?

Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Taxpayer Services

What is the GRS/RCS Item Number?

RCS-29 item 88

What type of Records is this for?

Both (Paper and Electronic)

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

Information Returns received from employees and recipients (Foreign W-2).

What is the disposition schedule?

(1) Information Returns associated with income tax returns. AUTHORIZED DISPOSITION Destroy or Retain, as appropriate, when related income tax returns are destroyed or retired. (2) Information Returns not associated with related income tax returns. AUTHORIZED DISPOSITION Destroy January 2 following the year in which prepared.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Taxpayer Services

What is the GRS/RCS Item Number?

RCS-29 item 129

What type of Records is this for?

Both (Paper and Electronic)

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

Statement for Recipients of Interest Income (Form 1099-INT Copy C). Issued by the Service Center for interest payment in excess of \$10.00.

What is the disposition schedule?

AUTHORIZED DISPOSITION Destroy 6 years and 3 months after the calendar year issued.

Data Locations

What type of site is this?

System

What is the name of the System?

IEP

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System

Web hosting services

What are the incoming connections to this System?

There are over 100 applications hosted within IEP a list will be available upon request.