

Date of Approval: 06/22/2025
Questionnaire Number: 2210

Basic Information/Executive Summary

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

Digital Inventory Management

Acronym:

DIM

Business Unit

Enterprise Case Management Office

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.

Solution Overview: Digital Inventory Management (DIM) is a Pega-based inventory management system that is designed to accept digital submissions from IRS digital intake systems such as Documentation Upload Tool (DUT) and Digital, Mobile, and Adaptive Forms (DMAF). DIM is owned and managed by Information Technology (IT) Enterprise Program Management Office (EPMO) and has contractor support for program management and development activities. DIM is located within the NetHub Cloud and calls new digital submissions from the As-Received datastore within the Integrated Enterprise Portal (IEP) Cloud boundary via the Enterprise Application Programming Interface (API) Gateway.
Business Value Add:

DIM is a system within the broader IT Digitalization holistic framework, with the goal of meeting the requirements of the National Archives and Records

Administration (NARA) (Office of Management and Budget (OMB) M-19-21) legislation, which mandates a transition from paper to electronic records. DIM can be leveraged for business units that 1) do not have a digital downstream case management system or 2) have a digital downstream case management system that does not have a direct connection to a digital intake channel. DIM allows users to view digital submissions (submission data and documents) as they come in, assign work to themselves or others, and update their downstream case management systems without having to download/print. DIM utilizes a bespoke system to route incoming digital submissions (forms/correspondence) to As-Received for long term storage and to be able to route individual submissions to the specific group of users in DIM that need to be able to access it, called the DIM Ingestion Service.

System Access:

All users must submit a Business Operating Division (BOD) specific Business Entitlement Access Request System (BEARS) entitlement request for DIM and receive full approval before they are able to sign in to the DIM system application. After they've received BEARS approval, a DIM admin within their BOD must create a profile for them and provision access for what they should be able to view. DIM partitions access to data by user role (Admin, Assigner, Examiner, Read-Only) and by system queues (e.g. digital F4506-A submissions route into a queue named "TS SP: 4506-A", and only users with access to that queue can view those submissions).

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).

The solution will allow employees to manage taxpayer responses to correspondence that come in digitally. Taxpayers response could include PII to update relevant case information. Employees (DIM Users) manually review the PII for accuracy.

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)

Criminal Investigation Information

Criminal Record

Document Locator Number (DLN)

Email Address
Employer Identification Number
Employment Information
Financial Account Number
Individual Taxpayer Identification Number (ITIN)
Internet Protocol Address (IP Address)
Name
Other
Preparer Taxpayer Identification Number (PTIN)
Social Security Number (including masked or last four digits)
Standard Employee Identifier (SEID)
Telephone Numbers

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

Tax Year

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

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

PII for personnel administration - 5 USC

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?

No

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

System

3 What Tier designation has been applied to your system?

5

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?

8232

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

Digital Inventory Management

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.)

Addition of Personally Identifiable Information (PII), New Access by IRS employees or Members of the Public.

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?

No

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

Web Apps Governance Board

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.

211484

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?

Yes

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.

CSP: AWS GovCloud FedRAMP Package ID: F1603047866 Date of FedRAMP Authorization: 06/21/2016

12.2 Does the CSP allow auditing?

Yes

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

IRS

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)

DIM is employee facing and taxpayer submissions may only be accessed by IRS employees who have access to the system. Taxpayers cannot directly access or correct submissions in DIM, but IRS employees may edit received submission data as needed (i.e. correcting a typo). All submissions are stored in the As-Received data store for the duration of their RCS retention period; if an IRS employee edits data of a submission, a new record will be saved in As-Received.

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

IRS Owned and Operated

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.)

IRS Employees: - Users: Read and write - Managers: Administrator - Sys. Administrators: Administrator Contractors: - System Administrator: Administrator; Moderate - Developer: Administrator; Moderate

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.

THIS U.S. GOVERNMENT SYSTEM IS FOR AUTHORIZED USE ONLY!

Use of this system constitutes consent to monitoring, interception, recording,

reading, copying or capturing by authorized personnel of all activities. There is no right to privacy in this system. Unauthorized use of this system is prohibited and subject to criminal and civil penalties, including all penalties applicable to willful unauthorized access (UNAX) or inspection of taxpayer records (under 18 U.S.C. 1030 and 26 U.S.C. 7213A and 26 U.S.C. 7431).

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".
Not Applicable

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".
Not Applicable

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

22 How is access to SBU/PII determined and by whom?
Access to PII is determined based on based on business rules. Access will only be granted to individuals who have authority to see correspondence relevant to their work. The Business Entitlement Access Request System (BEARS) system utilizes the standard IRS on-Line access application to document approvals for access. Data access is granted on a need-to-know basis. A potential user must submit a request for access to their local management for approval. Users are not permitted access without a signed form from an authorized management official. Specific permissions (Read, Write, Modify, Delete, and/or Print) are defined on the form and set (activated) by the System Administrator prior to the user being allowed access. User privileges and user roles determine the types of data that each user has access to. Management monitors system access and removes permissions when individuals no longer require access. Users are assigned to specific modules of the application and specific roles within the modules and accounts follow the principle of least privilege which provide them the least amount of access to PII/SBU data that is required to perform their business function after receiving appropriate approval.

23 Is there a data dictionary on file for this system? Note: Selecting "Yes" indicates an upload to the Attachment Section is required.
No

24 Explain any privacy and civil liberties risks related to privacy controls.
There are no privacy and civil liberties risks related to privacy controls.

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.

No

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

The system will track when records are received and completed. It will also track what employee received and worked the record. Enterprise Security Audit Trails (ESAT) is integrated into the system to log all user activities consistently, in compliance with NIST 800-53 AU-6(3) requirements. Audit logs are sent to Splunk for handling.

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

No

Interfaces

Interface Type

Forms

Agency Name

F8899 - Notice of Income from Donated Intellectual Property

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

DIM Ingestion Service with the following tech stack: - RHEL 8
Container (EKS) - Application Node Balancer (ALB) - Network
Load Balancer (NLB) - Route 53 (R53)

Interface Type

Forms

Agency Name

F13920 - Directed Withholding and Deposit Verification

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

DIM Ingestion Service with the following tech stack: - RHEL 8
Container (EKS) - Application Node Balancer (ALB) - Network
Load Balancer (NLB) - Route 53 (R53)

Interface Type

IRS Systems, file, or database

Agency Name

Digital, Mobile, and Adaptive Forms (DMAF) Intake Channel

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

DIM Ingestion Service with the following tech stack: - RHEL 8
Container (EKS) - Application Node Balancer (ALB) - Network
Load Balancer (NLB) - Route 53 (R53)

Interface Type

Forms

Agency Name

F8546 - Claim for Reimbursement of Bank Charges

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

DIM Ingestion Service with the following tech stack: - RHEL 8
Container (EKS) - Application Node Balancer (ALB) - Network
Load Balancer (NLB) - Route 53 (R53)

Interface Type

Forms

Agency Name

F12277 - Application for Withdrawal of Filed Form 668(Y),
Notice of Federal Tax Lien

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

DIM Ingestion Service with the following tech stack: - RHEL 8
Container (EKS) - Application Node Balancer (ALB) - Network
Load Balancer (NLB) - Route 53 (R53)

Interface Type

IRS Systems, file, or database

Agency Name

As-Received Datastore

Incoming/Outgoing

Incoming (Receiving)

Transfer Method
Integrated Enterprise Portal (IEP)

Interface Type

IRS or Treasury Contractor

Agency Name

Splunk

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Other

Other Transfer Method

The logs are sent the Splunk Universal Forwarder where it collects application server log files and sends them to the Splunk Platform for indexing and consolidation

Interface Type

IRS Systems, file, or database

Agency Name

Documentation Upload Tool (DUT) Intake Channel

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

DIM Ingestion Service with the following tech stack: - RHEL 8 Container (EKS) - Application Node Balancer (ALB) - Network Load Balancer (NLB) - Route 53 (R53)

Interface Type

Forms

Agency Name

F4506-A - Request for a Copy of Exempt or Political Organization

IRS Form

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

DIM Ingestion Service with the following tech stack: - RHEL 8 Container (EKS) - Application Node Balancer (ALB) - Network Load Balancer (NLB) - Route 53 (R53)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.

The solution will allow employees to manage taxpayer responses to correspondence and submissions that come in digitally.

SORN Number & Name

IRS 37.111 - Preparer Tax Identification Number Records

Describe the IRS use and relevance of this SORN.

A subset of correspondence that DIM intakes includes a PTIN field

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

The system will track when records are received and completed. It will also track what employee received and worked the record.

SORN Number & Name

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

The DIM system stores personnel information as part of a user's system profile (i.e. Business Unit/Org, Title, Badge Number, Office Location, etc.)

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the disposition schedule?

DIM will not store or destroy any official records. All taxpayer submissions will be stored in the As-Receive datastore for retention and eventual destruction as per the Record Control Schedule

Data Locations

What type of site is this?

System

What is the name of the System?

As Received

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System.

As-Received is a NARA-compliant document storage Enterprise Service designed to take documents as they were originally received by the IRS.

What are the incoming connections to this System?

In the context of DIM, submissions via digital intake channels* are routed through the DIM Ingestion Service. The DIM Ingestion Service routes the submission data and documents to As Received via API for long term storage/retention and then calls another API to create a new submission record in the DIM application. * Digital intake channels currently/to be integrated with DIM - Documentation Upload Tool (DUT), Digital Mobile Adaptive Forms (DMAF), Correspondence Submission Service (CSS).