

Date of Approval: **October 27, 2021**

PIA ID Number: **6164**

SYSTEM DESCRIPTION

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

Enterprise Document Management Platform, EDMP

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?

Enterprise Document Management Platform EDMP #3787

What is the approval date of the most recent PCLIA?

3/11/2019

Changes that occurred to require this update:

Addition of Personally Identifiable Information (PII)

Internal Flow or Collection

Expiring PCLIA

Were there other system changes not listed above?

Yes

What were those changes?

EDMP R1 has been in operation from 2015 - 2021. The Application Tier hosts Commercial Off-The-Shelf (COTS) product: Documentum v7.2 and is predominately RedHat Linux v6 Operating System (OS) with a single server hosting Windows 2012. The data tier is Oracle v12.1. This release has aged-in-place & requires upgrades to COTS and Infrastructure Operating System (OS) & database. EDMP R2 (undergoing deployment now/April -October 2021) will go into Production in November 2021 to support IRS Filing Season 2022 (FS22). The Application Tier hosts COTS: Documentum v20.4 and is predominately RedHat Linux

v7 (OS) | with a single server hosting Windows 2019. The data tier will be hosted on Exadata Appliance running Oracle v19c - all aligned with IRS Infrastructure Currency.

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

Enterprise Services Governance Board (ESGB)

Current ELC (Enterprise Life Cycle) Milestones:

Detailed Design/Milestone 4A

System Development/Milestone 4B

System Deployment/Milestone 5

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.

IRS Enterprise Operations (EOPS) is responsible for the deployment and daily maintenance of the hardware and software configurations of EDMP's infrastructure. Enterprise Document Management Platform (EDMP) provides a common document management platform to support existing and proposed projects with Document and Records Management requirements. COTS (Commercially Off The Shelf) product: OpenText.Documentum(v20.4) is centric to the solution. EDMP also provides a collaborative environment that allows users to manage documents that need to be processed and stored securely in a repository. IRS systems including Unified Network Services, Centralized Authorization File (CAF) and IVES (Income Verification Express Service) that fall under EEFAQ (Enterprise eFax). EEFAQ uses EMP (Documentum xCP) to manage their (Incoming Faxes) documents. EDMP Rel 2.0 will allow IRS to scale technical resources through shared servers.

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:

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 customer EEFax system hosted within the boundary of EDMP R2 is used to store IRS Tax Form 4506-T. Tax Form 4506-T is used to order a taxpayer's transcript or other return information. The Office of Management and Budget Circular A-130 requires that federal agencies develop a mitigation or elimination strategy for systems that use SSNs, which the Service continues to develop strategies to meet. An exception to that requirement is when the SSN is uniquely needed to identify a user's record. Information Sharing Reporting - Sharing Information Returns Modernization (ISR-S=Common Integration Services) requires the use of SSN's because no other identifier can be used to uniquely identify a taxpayer at this time.

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

EFS plans to mitigate the use of SSNs (or tax identification numbers) through a secure infrastructure that provides administrative and technical controls to secure PII data. Standard security features include user authentication for verification that the user is a valid repository user. User authentication occurs automatically, regardless of whether repository security is active. Password encryption protects passwords stored in a file.

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
Phone Numbers
E-mail Address
Date of Birth
Place of Birth
Standard Employee Identifier (SEID)
Mother's Maiden Name
Criminal History
Certificate or License Numbers
Financial Account Numbers
Employment Information
Tax Account Information
Centralized Authorization File (CAF)

Does this system use, collect, receive, display, store, maintain, or disseminate SBU information that is not PII?

No

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

No

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.

EDMP supports Electronic Enterprise Fax (EEFax) as a pass-thru system to manage the processing of Incoming Fax(es) (Requests) for User Network Services (UNS). CAF - Centralized Authorization File 3rd Party/POA UNS.IVES - Income Verification Express Service (1) IVES is a (only) partially automated service that provides two to three business day suitability then entered the Employee User Portal (EUP) by IVES Coordinators in the Return and Income Verification Services (RAIVS) unit. IVES customers request transcripts by faxing Form 4506-T, Request for Transcript of Tax Return, Form 4506T-EZ, Short Form Request for Individual Tax Return Transcript to the appropriate RAIVS unit. Once an IVES Application has been established for them by the RAIVS unit, and they are given a Participants/Consolidator Number, they are treated the same as any other customer.

Transcripts are delivered to the customer's e-Services Secure Mailbox. EDMP supports IVES & CAF Reviewer/Processing (routing & assignment) of Incoming Fax workflows. 1. IVES is a partially automated service that provides 2-3 business day processing and delivery of transcripts to participants who pay a fee for this service. Each company must complete Form 13803, Application To Participate in the Income Verification Express Service (IVES) Program CAF is a centralized way of managing 3rd party & Power Of Attorney documents that are come thru via: How is CAF data received from the taxpayer? Form 2848 is submitted to authorize processing and delivery of transcripts to participants who pay a fee for this service. Each company must complete Form 13803, Application To Participate in the Income Verification Express Service (IVES) Program, which is reviewed for individuals to represent taxpayers before the IRS and/or to receive copies of notices sent to the taxpayer and account transcripts, and to receive IRS refund checks. The "H" representative cannot sign or receive refund checks on the taxpayer's behalf. Form 8821, is submitted to authorize an appointee, including but not limited to, legal and accounting firms, to inspect and/or receive confidential tax account information including copies of notices and account transcripts, but not IRS refund checks. When the appointee is a business, authority extends to employees of the appointee. Form 706 authorizes one attorney, accountant, or enrolled agent to represent the estate on a limited basis and to receive notices, but not IRS refund checks.

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

Visual Inspection combined with Automated Business Rules checks perform Quality Control Analysis on both Income Verification Express Service & Centralized Authorization File system data to verify TIN and Taxpayer signature authority. Users will validate the faxed information prior to entry. The Electronic File Storage (EFS) system identifies and enforces which fields are required to be completed before a record can be saved. Data validation checks are automated in the system to ensure date fields are valid dates and numeric fields are numeric. Automated business rules check to ensure information is complete and will cite what information might be missing. The technical specialist reviews the business rules findings and makes the final determination on completeness and can overrule the business rules if necessary.

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 00.001 Correspondence Files and Correspondence Control Files

IRS 34.037 Audit Trail and Security Records

IRS 36.003 General Personnel and Payroll Records

IRS 36.001 Appeals, Grievances and Complaints Records

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: Income Verification Express Service Automation

Current PCLIA: Yes

Approval Date: 7/14/2021

SA&A: No

System Name: Centralized Authorization File
Current PCLIA: Yes
Approval Date: 10/1/2018
SA&A: No

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: EEFax
Transmission Method: NFS share (Windows) PUSH to EDMP
ISA/MOU: No

Does the system receive SBU/PII from Taxpayer forms?

Yes

Please identify the form number and name:

Form Number: Form 2848
Form Name: Power of Attorney and Declaration of Representative

Form Number: Form 706
Form Name: U.S. Estate (and Generation-Skipping Transfer) Tax Return

Form Number: Form 8821
Form Name: Tax Information Authorization

Form Number: Form 13803
Form Name: Application To Participate in the Income Verification Express Service (IVES) Program

Form Number: Form 4506-T
Form Name: Request for Transcript of Tax Return

Form Number: Form 4506T-EZ
Form Name: Short Form Request for Transcript of Tax Return

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: Income Verification Express Service

Current PCLIA: Yes

Approval Date: 7/14/2021

SA&A: No

System Name: Centralized Authorization File

Current PCLIA: Yes

Approval Date: 10/1/2018

SA&A: No

Identify the authority.

EDMP supports Enterprise Electronic Fax System (EEFax) as a pass-thru system to manage the processing of Incoming Fax(es) (Requests) for IRS projects, including Centralized Authorization File and Income Verification Express Service (IVES). EDMP supports IVES & CAF Reviewer/Processing (routing & assignment) of \Incoming Fax workflows. IVES is a (only) partially automated service that provides two to three business day processing and delivery of transcripts to participants who pay a fee for this service. Each company must complete Forms 13803, Application To Participate in the Income Verification Express Service (IVES) Program, which is reviewed for suitability then entered the EUP by IVES Coordinators in the Return and Income Verification Services (RAIVS) unit. IVES customers request transcripts by faxing Form 4506-T, Request for Transcript of Tax Return, Form 4506T-EZ, Short Form Request for Individual Tax Return Transcript to the appropriate RAIVS unit. Once an IVES Application has been established for them by the RAIVS unit, and they are given a Participants/Consolidator Number, they are treated the same as any other customer. Transcripts are delivered to the customer's e-Services Secure Mailbox. CAF is a centralized way of managing 3rd party & Power Of Attorney documents that are come thru via Form 2848 - which is submitted by authorized individuals to representing the taxpayers to receive copies of notices sent to the taxpayer and account transcripts, and to receive IRS refund checks. The "H" representative cannot sign or receive refund checks on the taxpayer's behalf. Form 8821, is submitted to authorize an appointee, including but not limited to, legal and accounting firms, to inspect and/or receive confidential tax account

information including copies of notices and account transcripts, but not IRS refund checks. When the appointee is a business, authority extends to employees of the appointee. Form 706 authorizes one attorney, accountant, or enrolled agent to represent the estate on a limited basis and to receive notices, but not IRS refund checks.

For what purpose?

EDMP is the downstream receiving system of UNS Incoming Faxes hosting Case Management (Workflow Applications) for 1) CAF - Centralized Authorization File 2) Income Verification Express Service systems

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

No

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?

No

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?

No

Why not? If information is not collected directly from an individual, please discuss the factors considered in deciding to collect information from third party sources.

There is no additional 'collection' of data than the 'Incoming Fax' that is routed from UNS front door to EDMP host/processing system.

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

No

Why not?

There is no direct interaction with individual taxpayer. The system support case management processing (only).

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

Sub-applications include Quality Control routines within the Case Management workflow. Taxpayer has right to Due Process provided pursuant to Title 5 of the Unites States Code (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).

IRS Owned and Operated

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

IRS Employees

Users: Read Only

System Administrators: Read Only

Developers: Read Only

IRS Contractor Employees

Contractor Users: Read Only

Contractor Developers: Administrator

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

EDMP Access Controls, also referred to as roles or entitlements, are hierarchically arranged based on least privilege required to perform responsibilities for processing of documents/contents or artifacts on EDMP platform. The hierarchy of controls includes IRS standard protocols that span EDMP platform and client customers' customer applications.

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.

All records housed in the EDMP CAF implementation will be erased or purged from the system in accordance with approved retention periods and will be destroyed using IRS Records Control Schedules (RCS) 29, and as coordinated with the 1.15.6 Managing Electronic Records and IRS Records Officer. Power of Attorney (POA)/Tax Information Authorization (TIA), Centralized Authorization File (CAF). Authorization for a third party to act in behalf of a taxpayer before IRS or to receive or inspect certain tax information for the taxpayer. (1) POAs and TIAs (Hard Copy) used as input documents to the CAF. AUTHORIZED DISPOSITION Retire to IRS C-Site one year after year of processing. Destroy after January 2 of the year following the purge year which is identified by the first 2 digits of the Source Document Locator Number (SDLN) on the Power of Attorney (POA) or Taxpayer Income Authorization (TIA).

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?

4/21/2021

Describe the system's audit trail.

EDMP provides audit trail capability. EDMP tracks and maintains a log of all user activity that takes place in the system. Audit data is collected on successful login (Standard Employee Identifier (SEID) that signed in), document accessed, document created or modified, date and time accessed, and workflow initiated. Each transaction is recorded in the audit tables and can be retrieved through a query.

PRIVACY TESTING

Does the system require a System Test Plan?

No

Please explain why:

EDMP platform testing includes Database Migration; Performance; Integration & 508 testing in-scope.

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: Not Applicable

Members of the Public: Under 100,000

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?

No