

Date of Approval: 09/02/2025
Questionnaire Number: 2559

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/IEP Cloud

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

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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) mission is 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 hosted on the AWS GovCloud, Cloud Service Provider (CSP). Additionally, IEP Cloud utilizes Google Services as an additional Platform-as-a-Service (PaaS) CSP. Current state of Google Services supports the Digital Enablement Platform (DEP) Google Doc AI capabilities. To support Google Doc AI as an Optical Character Recognition (OCR) application, UiPath is used as the validation platform. The OCR function extracts data from scanned images or files. The data is then presented to the end-user for validation and accuracy.

- 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.
- 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.
- 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 uses the Income Verification Express Service (IVES), a fully automated verification application 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.
- 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 & Medicaid Services (CMS) and external transmitters.

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 Transport Layer Security (TLS). 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 within 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
- Adoption Taxpayer Identification Number
- Bar Codes
- Centralized Authorization File (CAF)
- Credit Card Number
- Driver's License Number
- Email Address
- Employer Identification Number
- Employment Information
- Family Members
- Federal Tax Information (FTI)
- Financial Account Number
- Individual Taxpayer Identification Number (ITIN)
- Internet Protocol Address (IP Address)
- Language
- Medical History/Information
- Name
- Other
- Passport Number
- Personal Characteristics
- Preparer Taxpayer Identification Number (PTIN)
- Protected Information
- QR Codes
- Social Security Number (including masked or last four digits)
- Standard Employee Identifier (SEID)
- Tax ID Number
- Telephone Numbers
- Vehicle Identification Number (VIN)

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

- 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
PII for personnel administration - 5 USC

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? (Number)

0

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?

1654

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

IRS Integrated Enterprise Portal

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.)

Adding Google Services as an approved CSP.

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.

Infrastructure Executive Steering Committee (IESC)

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.

No

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?

Yes

11.1 Describe the business process and purpose of your Artificial Intelligence (AI) and identify what system(s) or business process(es) this AI supports.

Google Document AI and UiPath Document Understanding are the two AI products used in this application. Both Google Document AI and UiPath Document Processing are authorized, managed services that provide developers with the ability to train document classification and OCR extraction models.

11.2 What is the algorithm or learning method used and what database is training your AI?

The algorithm for document classification is the Intelligent Keyword Classifier available in UiPath's Document Understanding product. This model takes as input a set of digitized documents and identifies keywords associated with each document class. The algorithm used for field value extraction is part of the Google Document AI Custom Document Extractor. With Google Document AI Custom Document Extractor developers can be designated Field Value areas of extraction. OCR Extraction and the model implementations are proprietary to Google.

11.3 How is this AI system tested and validated to ensure that the decisions or outputs are reliable (relevant to the input) and performs without biases and drifting? Note: Outputs include, User information, transfer to assistor, reports on dashboard depicting activities.

During training and testing phases of both UiPath Document Understanding and Google Document AI the model inputs and outputs are manually entered by a labeling process. Once the models achieve sufficient performance based on F-

score (a metric used to evaluate the accuracy of an Optical Character Recognition), the models are deployed. At the application level, the output of the deployed models is processed against a set of configured business rules to assess the validity of the data. If the data violate these business rules or if the models report low confidence, they results are routed to Human-In-The-Loop validation via UiPath Action Center where a human user can assess the extracted field values and associated data.

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.

Acquia Cloud - F1302201919 - 04/13/2016

AWS GovCloud - F1603047866 - 06/21/2016

Akamai Content Delivery Services - F1206061353 - 08/23/2013

CrowdStrike Falcon Platform for Government - FR1807853629A - 03/12/2025

Google Services (Google Cloud Platform Products and underlying Infrastructure) - FR1805751477 - 12/04/2019

Azure Government (includes Dynamics 365) - F1603087869 - 04/29/2020

Palo Alto Networks Government Cloud Services - FR1913470600 - 01/21/2021

Qualys Cloud Platform - F1508207205 - 11/02/2016

ServiceNow Government Community Cloud - F1305072116 - 08/12/2019

Wiz Moderate for U.S. Government (Wiz Mod) - FR2308034636 - 08/14/2024

Zscaler Internet Access - Government (Secure Web Gateway - vTIC) - High - FR2227062482 - 07/02/2022

Zscaler, Inc - Zscaler Private Access - Government (Zero Trust Networking - VPN Replacement) - FR1719759604 - 04/29/2020

12.2 Does the CSP allow auditing?

Yes

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

3rd Party

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)

No public person/individual accesses IEP to correct his/her/entity's information. Each application within IEP has their own provisions for due process.

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?

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 contractor's access will be terminated once they no longer require access.

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 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 user's access will be terminated once they no longer require access. Access to Business and Customer Service Representative (CSR) Portals are determined by their roles of the users 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

Information Return Intake System (IRIS) Portal is determined by the roles of the users and maintained through BEARS which is approved by managers and then by system administrators. Access is based on hierarchy roles and permissions. The Foreign Account Tax Compliance Act International Compliance Management Model - International Data Transfer (FATCA ICMM-IDT) and Modernized Electronic Filing (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) Income Verification Express System (IVES) 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.

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.

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 the relevant application PCLIA's for additional information. IEP Cloud only provides the infrastructure for the applications.

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".

Under 50,000

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

22 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.

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.

None

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.

All IEP auditable events are sent to Splunk for review. The log content of the contains the following:

- a. What type of event occurred,
- b. When the event occurred,
- c. Where the event occurred,
- d. Source of the event,
- e. Outcome of the event; and
- f. Identity of any individuals, subjects, or objects/entities associated with the event.

A dedicated security monitoring team is responsible for IEP system auditing. This security team is responsible for maintaining the auditing activities, monitoring of all system audit services and responding to auditing anomalies. Security incidents will be handled according to the Accenture Incident Handling Monitoring and Response Plan. Please refer to the Incident Response (IR) controls of this SSP for more information. The Accenture security team reviews and analyzes the audit logs at a minimum of 2 to 3 times per week or when there is indication of a security incident.

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

No

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

FATCA - Foreign Account Tax Compliance

Incoming/Outgoing
Both
Transfer Method
Integrated Enterprise Portal (IEP)

Interface Type
IRS Systems, file, or database
Agency Name
UiPath
Incoming/Outgoing
Both
Transfer Method
Secured channel via HTTPS

Interface Type
IRS Systems, file, or database
Agency Name
RUP - Registered User Portal
Incoming/Outgoing
Both
Transfer Method
Integrated Enterprise Portal (IEP)

Interface Type
IRS Systems, file, or database
Agency Name
PUP - Public User Portal
Incoming/Outgoing
Both
Transfer Method
Integrated Enterprise Portal (IEP)

Interface Type
IRS Systems, file, or database
Agency Name
ACA - Affordable Care Act
Incoming/Outgoing
Both
Transfer Method
Integrated Enterprise Portal (IEP)

Interface Type
IRS Systems, file, or database
Agency Name
EUP - Employee User Portal

Incoming/Outgoing
Both
Transfer Method
Integrated Enterprise Portal (IEP)

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.

NARA-compliant database allows for storage and viewing of correspondence files for taxpayer benefits.

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.

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 37.111 - Preparer Tax Identification Number Records

Describe the IRS use and relevance of this SORN.

DEP digitizes and extracts metadata from taxpayer correspondence where a PTIN may be present.

Records Retention

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?

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.

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 3.1 item 010

What type of Records is this for?

Both (Paper and Electronic)

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

GRS 3.1 item 010-Infrastructure project records. Destroy 5 years
after project is terminated, but longer retention is authorized if
required for business use

What is the disposition schedule?

The retention period will be determined by the source systems
policies and procedures

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 5.2 item 020

What type of Records is this for?

Both (Paper and Electronic)

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

Records that meet the following conditions:

- They exist for the sole purpose of creating a subsequent record and
- They are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

What is the disposition schedule?

Disposition schedule: Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use, whichever is later.

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?

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.

Data Locations

What type of site is this?

System

What is the name of the System?

As-Received Database

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System.

As-Received database is a NARA-compliant database that stores records based on their retention periods as outlined in the Records Control Schedule.

What are the incoming connections to this System?

Incoming connections are Digital Enablement Platform, Digital Inventory Management, Digital Mobile Adaptive Forms, Scanned Form Processing Service.

What are the outgoing connections from this System?

API call from Digital Content Retrieval.

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.