

Date of Approval: **February 05, 2021**

PIA ID Number: **5530**

## **SYSTEM DESCRIPTION**

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

Short Message Service Platform, SMSP

*Is this a new system?*

No

*Is there a PCLIA for this system?*

No

*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:*

System Development/Milestone 4B

*Is this a Federal Information Security Management Act (FISMA) reportable system?*

No

## **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.*

The IRS Short Message Service Platform (SMSP) Project is an Enterprise Infrastructure and Technology Shared Service (TSS) that allows the IRS to deliver high volume mobile messaging services to US Taxpayers. Through SMSP, the IRS will be able to provide secure online services to its mobile customers. Employing SMSP in the place of an individualized solution provides many benefits, including: - An Enterprise Infrastructure to centralize and standardize SMS services for IRS applications. - A reduction in overall project and organization costs through use of common services and infrastructures with the privilege of high-volume pricing reductions. - A layer of separation/abstraction between IRS applications and external SMS providers. This limits the need to interact with the external SMS provider

to the SMSP Project Team and protects IRS applications from needing to make changes in the cases where vendor services update or vendor changes occur. - Enhanced security for SMS service utilization using SMSP's certified IP address access protocol. - Reliable logging, tracking, and traffic monitoring for SMS message delivery. - Secure delivery and processing of SMS messages that meets IRS and Federal Standards, e.g., Internal Revenue Manual (IRM), NIST SP 800-53 "Security and Privacy Controls for Federal Information Systems and Organizations." SMSP is a common infrastructure component of GSS-42. SMSP provides Short Message Service (SMS Messaging) capabilities for IRS business needs. Through SMSP, authorized applications log-on to the SMSP platform, and can then send SMS Text and Text-to-Voice messages to taxpayers. SMSP is used primarily by e-Authentication for Two-Factor Authentication of Taxpayer accounts, thereby increasing Level of Assurance for Taxpayers' accounts while accessing IRS Web Applications. SMSP is not a user application, but a Service Application. SMSP is implemented on a redundant set of SMSP Linux servers that will act as a gateway between the IRS business system and the external SMS Provider (AT&T).

## 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.)?*

No

*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:*

Phone Numbers

*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)

*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.*

Phone Number SBU/PII is used to correctly direct SMS messages to the requesting taxpayer. It is the only relevant PII required to send SMS messages. This PII is processed in order to send the SMS message to the taxpayer but is not stored after processing.

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

SMSP does not verify Phone Number PII for accuracy. These Phone Numbers/PII are submitted by user applications and would need to be verified by those applications or their end users.

## **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

## 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: EAuthentication

Current PCLIA: Yes

Approval Date: 7/10/2018

SA&A: Yes

ATO/IATO Date: 2/21/2020

*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?*

No

*Does the system receive SBU/PII from Taxpayer forms?*

No

*Does the system receive SBU/PII from Employee forms (e.g. the I-9)?*

No

## **DISSEMINATION OF PII**

*Does this system disseminate SBU/PII?*

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.*

SMSP does not collect information directly from individuals, we are an internal IRS application which does not directly interact with external customers.

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

Yes

*Describe the mechanism by which individuals indicate their consent choice(s):*

Individuals can OPT-OUT from receiving SMS messages.

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

SMSP relies on its customer applications (eAuth) to ensure due process regarding information correction and redress.

## **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

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

IRS and Contractor Employees do not have access to SBU/PII. Phone Numbers are processed to send SMS messages immediately once they are received by the SMSP service. These Phone Numbers are not stored after processing, so it's not possible to access this PII.

## **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?*

No

*You must work with the IRS Records and Information Management (RIM) Program Office to address records retention requirements before you dispose of any records in this system.*

## **SA&A OR ASCA**

*Has the system been through SA&A (Security Assessment and Authorization) or ASCA (Annual Security Control Assessment)?*

In-process

*When is the anticipated date of the SA&A or ACS completion?*

11/2/2020

*Describe the system's audit trail.*

SMSP maintains an audit trail with the following elements: - SMSP Message ID - e.g., b6ccd0d1-c180-4bbc-b5b9-f9812f5e1010 - Application sending message - e.g., 1003 - Obfuscated destination (phone number) - e.g., 13#####2 - Text (message) - e.g., 20161006-prod-01 - HTML Send Response - e.g., 200 - AT&T response - e.g., [0, 001, OK, 1971283232]

## **PRIVACY TESTING**

*Does the system require a System Test Plan?*

Yes

*Is the test plan completed?*

No

*When is the test plan scheduled for completion?*

11/15/2020

*Describe what testing and validation activities have been conducted or are in progress to verify and validate that the applicable Privacy Requirements (listed in header) have been met?*

We confirm that our application logs and data store do not maintain any PII.

## **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: Not Applicable

Contractors: Not Applicable

Members of the Public: More than 1,000,000

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