

---

## A. SYSTEM DESCRIPTION

---

1. Enter the full name and acronym for the system, project, application and/or database. Enterprise Document Management Platform , EDMP

2. Is this a new system? Yes

3. Check the current ELC (Enterprise Life Cycle) Milestones (select all that apply)

<u>Yes</u>	Vision & Strategy/Milestone 0
<u>Yes</u>	Project Initiation/Milestone 1
<u>Yes</u>	Domain Architecture/Milestone 2
<u>Yes</u>	Preliminary Design/Milestone 3
<u>Yes</u>	Detailed Design/Milestone 4A
<u>No</u>	System Development/Milestone 4B
<u>No</u>	System Deployment/Milestone 5
<u>No</u>	Operations & Maintenance (i.e., system is currently operational)

4. Is this a Federal Information Security Management Act (FISMA) reportable system? No

---

### A.1 General Business Purpose

---

5. 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.

Enterprise Document Management Platform (EDMP) is made up of Development, Test, Production and Disaster Recovery Linux Consolidated Systems located in Enterprise Computing Center – Martinsburg (ECC-MTB) and Enterprise Computing Center – Memphis (ECC-MEM) within Enterprise Operations (EOPS). EOPS is responsible for the deployment and daily maintenance of the hardware and software configurations of EDMP’s infrastruce. EDMP provides a common document management platform to support existing and proposed projects with Document and Records Management requirements. It also provides a collaborative environment that allows users to manage documents that need to be processed and stored securely in a repository. Currently a number of existing IRS systems like AMS, MEDS, RSPCC, eContracts, DocIT, Chief Counsel and CMC, use Documentum to manage their documents. EDMP would allow the IRS to realize economies of scale brought about through implementing shared content servers, DB servers, index servers and SAN. EMDP is built on a Red Hat Linux Platform

---

## B. PII DETAIL

---

6. Does the system use, collect, receive, display, store, maintain, or disseminate IR Code 6103 taxpayer information; or any type of Sensitive but Unclassified (SBU) or Personally Identifiable Information (PII)? Yes

6a. If **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

If **yes**, check who the SSN (or tax identification number) is collected on.

Yes On Primary Yes On Spouse Yes On Dependent

If **yes**, check all types SSN s (or tax identification numbers) that apply to this system:

Yes Social Security Number (SSN)  
No Employer Identification Number (EIN)  
Yes Individual Taxpayer Identification Number (ITIN)  
No Taxpayer Identification Number for Pending U.S. Adoptions (ATIN)  
No Practitioner Tax Identification Number (PTIN)

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

There is no alternative to the use of the SSN. The SSN is the significant part of the data being processed. There is no planned mitigation strategy to mitigate or eliminate the use of the SSN on the system.

6b. Does this system contain other (non-SSN) PII that it uses, collects, receives, displays, stores, maintains, or disseminates? (i.e. Names, addresses, etc.) Yes

If **yes**, specify the information.

<u>Selected</u>	<u>PII Element</u>	<u>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>
Yes	Name	Yes	Yes	Yes
Yes	Mailing address	No	No	No
No	Phone Numbers	No	No	No
No	E-mail Address	No	No	No
Yes	Date of Birth	Yes	Yes	Yes
No	Place of Birth	No	No	No
No	SEID	No	No	No
No	Mother's Maiden Name	No	No	No
No	Protection Personal Identification Numbers (IP PIN)	No	No	No
No	Internet Protocol Address (IP Address)	No	No	No
No	Criminal History	No	No	No
No	Medical Information	No	No	No
No	Certificate or License Numbers	No	No	No
No	Vehicle Identifiers	No	No	No
No	Passport Number	No	No	No
No	Alien (A-) Number	No	No	No
No	Financial Account Numbers	No	No	No
No	Photographic Identifiers	No	No	No
No	Biometric Identifiers	No	No	No
No	Employment (HR) Information	No	No	No
No	Tax Account Information	No	No	No

6c. Does this system contain SBU information that is not PII, it uses, collects, receives, displays, stores, maintains, or disseminates? Yes

If **yes**, select the types of SBU

<u>Selected</u>	<u>SBU Name</u>	<u>SBU Description</u>
Yes	Agency Sensitive Information	Information which if improperly used or disclosed could adversely affect the ability of the agency to accomplish its mission
Yes	Procurement sensitive data	Contract proposals, bids, etc.
Yes	Official Use Only (OUO) or Limited Official Use (LOU)	Information designated as OUO or LOU is information that: is exempt under one of the statutory Freedom of Information Act exemptions; is prohibited by other laws or regulations; would significantly impede the agency in carrying out a responsibility or function; or would constitute an unwarranted invasion of privacy.
No	Proprietary data	Business information that does not belong to the IRS
No	Protected Information	Information which if modified, destroyed or disclosed in an unauthorized manner could cause: loss of life, loss of property or funds by unlawful means, violation of personal privacy or civil rights, gaining of an unfair procurement advantage by contractors bidding on government contracts, or disclosure of proprietary information entrusted to the Government
No	Physical Security Information	Security information containing details of serious weaknesses and vulnerabilities associated with specific systems and facilities
No	Criminal Investigation Information	Information concerning IRS criminal investigations or the agents conducting the investigations.

6d. Are there other types of SBU/PII used in the system? No

6e. Cite the authority for collecting SBU/PII (including SSN if relevant)

<u>No</u>	PII for federal tax administration is generally Internal Revenue Code Sections 6001, 6011, 6012e(a)
<u>Yes</u>	SSN for tax returns and return information is Internal Revenue Code Section 6109
<u>No</u>	SSN for personnel administration (IRS Employees) is 5 USC & Executive Order 9397
<u>No</u>	PII for personnel administration is 5 USC
<u>No</u>	PII about individuals for Bank Secrecy Act compliance 31 USC
<u>No</u>	Information by CI for certain money laundering cases may be 18 USC

6f. Has the authority been verified with the system owner? Yes

---

## **B.1 BUSINESS NEEDS AND ACCURACY**

---

7. 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.

The systems\projects that reside on EDMPs platform may collect and store documents that contain PII data. EDMP will provide the platform for document management requirements. The type of PII

information is limited to the scope of projects leveraging EDMP. The collection of PII data is based on specific project requirements and will be contained within the projects application. SSNs are used for identification purposes and is also limited to the scope of projects leveraging EDMP.

8. How is the SBU/PII verified for accuracy, timeliness, and completeness? Explain how steps are taken to ensure that all information maintained by the system that is used by IRS to make any adverse determination about an individual's rights, benefits, and/or privileges is maintained with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination

The projects on this infrastructure have data validation checks in place. Please refer to projects PIA for details on the process involved

---

### **C. PRIVACY ACT AND SYSTEM OF RECORDS**

---

9. Are 10 or more records containing SBU/PII maintained, stored, and/or transmitted by or through this system? Yes

9a. If **yes**, are records in the system retrieved by any personal identifier (e.g., name, SSN, Photograph, IP Address) for an individual? Yes

If **yes**, is there a System of Records Notice(s) or SORNs that addresses the PII records in this system? Yes

If **yes**, enter the SORN number(s) and the complete the name of the SORN.

<u>SORNS Number</u>	<u>SORNS Name</u>
00.001	Correspondence Files
34.037	IRS Audit Trail and Security Records System
36.003	General Personnel and Payroll Records

If **yes**, does the System of Records Notice(s) (SORN) published in the Federal Register adequately describe the records as required by the Privacy Act? Yes

---

### **D. RESPONSIBLE PARTIES**

---

10. Identify the individuals for the following system roles. N/A

---

### **E. INCOMING PII INTERFACES**

---

11. Does the system receive SBU/PII from other system or agencies? No

---

### **F. PII SENT TO EXTERNAL ORGANIZATIONS**

---

12. Does this system disseminate SBU/PII? No

---

### G. PRIVACY SENSITIVE TECHNOLOGY

---

13. Does this system use social media channels? No

14. Does this system use privacy-sensitive technologies such as mobile, cloud, global position system (GPS), biometrics, RFID, etc.? No

15. Does the system use cloud computing? No

16. Does this system/application interact with the public? No

---

### H. INDIVIDUAL NOTICE AND CONSENT

---

17. Was/is notice provided to the individual prior to collection of information? Yes

17a. If **yes**, how is notice provided? Was the individual notified about the authority to collect the information, whether such is mandatory or voluntary, the purpose for which the information will be used, with whom the information may be shared, and the effects, if any, if they decide not to provide any of the requested information?

EDMP is a platform that provides infrastructure support (i.e. applications that reside on EDMP) to document management applications. Verification and notification is provided by the projects leveraging EDMP. Due Process is provided pursuant to 5 USC.

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

18a. If **yes**, describe the mechanism by which individuals indicate their consent choice(s):

Tax Payers have the option to decline to send information. Due Process is provided pursuant to 5 USC.

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

The system will allow affective parties the opportunity to clarify or dispute negative information that could be used against them in denying benefits or disciplinary actions. Due Process is provided pursuant to 5 USC.

---

### I. INFORMATION PROTECTION

---

20. 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

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

IRS Employees? Yes

<u>IRS Employees?</u>	<u>Yes/No</u>	<u>Access Level(Read Only/Read Write/Administrator)</u>
Users	Yes	Read-Only

Managers	Yes	Read-Only
Sys. Administrators	Yes	Administrator
Developers	Yes	Read-Only

Contractor Employees? Yes

<b>Contractor Employees?</b>	<b>Yes/No</b>	<b>Access Level</b>	<b>Background Invest.</b>
Contractor Users	Yes	Read-Only	High
Contractor Managers	No		
Contractor Sys. Admin.	Yes	Administrator	High
Contractor Developers	Yes	Read-Only	High

21a. How is access to SBU/PII determined and by whom? Authorized users who have requested and been granted access through OL5081 and are approved by their management

21b. If computer matching occurs, can the business owner certify that it meets requirements of IRM 11.3.39 Disclosure of Official Information, Computer Matching & Privacy Protection Act ?  
Not Applicable

---

## **I.1 RECORDS RETENTION SCHEDULE**

---

22. Are these records covered under the General Records Schedule (GRS), or have a National Archives and Records Administration (NARA) archivist approved a Record Control Schedule (RCS) for the retention and destruction of official agency records stored in this system? Yes

22a. If **yes**, how long are the records required to be held under the corresponding RCS and how are they disposed of? In your response, please include the complete IRM number 1.15.XX and specific item number and title.

All records housed in the system will be erased, purged, destroyed, or transferred from the system at the conclusion of their retention period(s) as required under IRM 1.15.6, and in accordance with IRS Records Control Schedule (RCS) 19 and Document 12829 (GRS) 4.3. Recordkeeping series using this infrastructure and identified as unscheduled are to be scheduled in coordination with the IRS Records and Information Management (RIM) Program Office and the IRS Records Officer

---

## **I.2 SA&A OR ECM-R**

---

23. Has the system been through SA&A (Security Assessment and Authorization) or ECM-R (Enterprise Continuous Monitoring Reauthorization)? Yes

23a. If **yes**, what date was it completed? 3/2/2015

23.1 Describe in detail 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 (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.

---

**J. PRIVACY TESTING**

---

24. Does the system require a System Test Plan? Yes

24b. If **yes**, Is the test plan in process or completed: In Process

If **in process**, when is the test plan scheduled for completion? 12/17/2015

24.3 If **completed/ or in process**, 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?

The objective of EDMP STP IST Release 1 is to test the infrastructure in the following areas, supported by the physical architecture below and as such the Privacy Requirements listed above are Not Applicable to EDMP Release 1  
1. Authentication and authorization to allow users to log into EDMP  
2. Client tools (Webtop and Taskspace) connectivity to allow users to access various repositories and content management services per assigned user privilege  
3. SAN connectivity to allow users to retrieve stored data  
4. LDAP integration on project systems

---

**K. SBU Data Use**

---

25. Does this system use, or plan to use SBU Data in Testing? No

---

**L. NUMBER AND CATEGORY OF PII RECORDS**

---

26. Identify the number of individual records in the system for each category:

26a. IRS Employees:	<u>Under 50,000</u>
26b. Contractors:	<u>Under 5,000</u>
26c. Members of the Public:	<u>Not Applicable</u>
26d. Other:	<u>No</u>

---

**M. CIVIL LIBERTIES**

---

27. Does the system maintain any information describing how any individual exercises their rights guaranteed by the First Amendment? No

28. Is the system information used to conduct data-mining as defined in the *Implementing the 9/11 Commission Recommendations Act of 2007, Public Law 110-53, Section 804*? No

29. Will this system have the capability to identify, locate, and monitor individuals or groups of people? No

---

**N. ACCOUNTING OF DISCLOSURES**

---

30. 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

---

**End of Report**

---