

Date of Approval: **September 09, 2022**

PIA ID Number: **7172**

## **SYSTEM DESCRIPTION**

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

Employee Portal (Customer Service Representative), CSR

*Is this a new system?*

Yes

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

This system responds to the Web Applications Governance Board; reporting to Strategic Development Executive Steering Committee ESC committee (SD-ESC).

*Current ELC (Enterprise Life Cycle) Milestones:*

Vision & Strategy/Milestone 0

Project Initiation/Milestone 1

Domain Architecture/Milestone 2

Preliminary Design/Milestone 3

Detailed Design/Milestone 4A

System Development/Milestone 4B

*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.*

The Employee Portal is a cloud native backend web application that will allow IRS employees to view electronic information returns submitted through the Information Return Intake System Web Portal Web Portal (IRIS) in order to assist customers with information return questions. The Employee Portal is an internal backend User Interface (UI) Portal for

IRS employee use only. IRS employees will access the portal to view information returns, transmission details, and submission details to support any electronic information returns question in real time.

## **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:*

Interfaces with external entities that require the SSN

Legal/statutory basis (e.g., where collection is expressly required by statute)

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).*

Customer service and submission process usage

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

The Office of Management and Budget Cir. 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. The Employee Portal require the use of SSN's because no other identifier can be used to uniquely identify a taxpayer at this time. SSNs are permissible from Internal Revenue Code (IRC) 6109, which requires individual taxpayers to include their SSNs on their income tax returns.

Employer Identification Number

*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  
Standard Employee Identifier (SEID)  
Medical Information  
Vehicle Identifiers  
Financial Account Numbers  
Employment Information

*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

SSN for personnel administration (IRS Employees) is 5 USC & Executive Order 9397

*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.*

The Employee Portal is used for Tax Administration purposes. The Employee Portal is used by IRS employees to support customers who have used the Information Return Intake System Web Portal (IRIS) application. The IRIS Web Portal provides taxpayers with IRS resources and guidance to electronically prepare, file, and distribute Family Forms 1099. The Employee Portal will be used in conjunction with the IRIS Web Portal to assist customers with transmitter support. The Employee Portal will allow IRS employees to view SBU/PII information collected from the IRIS Web Portal.

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

It is the responsibility of the business trading partner who sends the data to ensure it is correct, timely, and complete. The Employee Portal leverages Information Return Intake Service (IRIS) for validation and completeness.

## **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 24.046 Customer Account Data Engine Business Master File

IRS 24.030 Customer Account Data Engine Individual Master File

IRS 22.062 Electronic Filing 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: Active Directory Federation Services (ADFS) Single Sign-On (SSO)  
Current PCLIA: No  
SA&A: No

System Name: Information Return Intake Service (IRIS)  
Current PCLIA: Yes  
Approval Date: 5/20/2022  
SA&A: No

System Name: Negative TIN Check (NTIN)  
Current PCLIA: No  
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?*

No

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

Yes

*Please identify the form number and name:*

Form Number: 1099  
Form Name: MISC

Form Number: 1099  
Form Name: NEC

Form Number: 1099  
Form Name: H

Form Number: 1099  
Form Name: INT

Form Number: 1099  
Form Name: S

Form Number: 1099  
Form Name: DIV

Form Number: 1099  
Form Name: R

Form Number: 1099  
Form Name: B

Form Number: 1099  
Form Name: PATR

Form Number: 1099  
Form Name: C

Form Number: 1099  
Form Name: G

Form Number: 1099  
Form Name: K

Form Number: 1099  
Form Name: A

Form Number: 1099  
Form Name: OID

Form Number: 1099  
Form Name: CAP

Form Number: 1099  
Form Name: LTC

Form Number: 1099  
Form Name: Q

Form Number: 1099  
Form Name: SA

Form Number: 1099  
Form Name: LS

Form Number: 1099  
Form Name: QA

Form Number: 1099  
Form Name: SB

*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: Information Return Intake Service (IRIS)  
Current PCLIA: Yes  
Approval Date: 5/20/2022  
SA&A: No

*Identify the authority.*

Taxpayer First Act's Section 2102 Mandate

*For what purpose?*

For tax administration purposes

*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?*

Yes

*Is the cloud service provider (CSP) Federal Risk and Authorization Management Program (FedRAMP) certified?*

Yes

*Date Certified.*

6/21/2016

*Please identify the ownership of the CSP data.*

IRS

*Does the CSP allow auditing?*

Yes

*Who audits the CSP Data?*

IRS



*What is the background check level required for CSP?*

Moderate

*Is there a breach/incident plan on file?*

Yes

*Privacy laws (including access and ownership) can differ in other countries. This cloud will be Continental US (CONUS) only for:*

Storage  
Transmission  
Maintenance

*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?*

Yes

*How is notice provided? Was the individual notified about the authority to collect the information, whether disclosure is mandatory or voluntary, the purpose for which the information will be used, with whom the information may be shared, and the effects on the individual, if any, if they decide not to provide all or any of the requested information?*

All forms come with instructions on what is required. The information within the Employee Portal comes from the IRIS Web Portal and includes various 1099 forms. This system and forms provide the Privacy Act Notice to individuals. The Employee Portal do not directly provide individuals the opportunity to decline from providing information and/or from consenting to particular uses of the information. Notice, consent, and due process are provided via the IRS system and their related tax forms instructions, and pursuant to 5 USC.

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

No

*Why not?*

The users are internal IRS employees that are going through IRS system access request, to obtain authority to view/correct production data. Consenting to use of information is automatically validated through the authentication and authorization process.

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

After checking status to find out that their submission contains an error or was rejected, the submitter can correct the error(s) in their own environment and re-submit. The rejection response from the IRS to the submitter will include details as to why the submission was rejected. Likewise, in the case of incorrect information that does not cause a reject, the submitter will be informed as to exactly what elements are incorrect. Transmitters will have access to IRS personnel (dedicated phone lines), as well as documentation (published documents as well as material at IRS.gov) to assist them in interpreting the responses, making necessary corrections, and resubmitting the transmission.

## **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 Contractor Operated

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

*IRS Employees*

Users: Read Write

Managers: Read Write

System Administrators: Administrator

Developers: Administrator

*IRS Contractor Employees*

Contractor Users: Read Write

Contractor Managers: Read Write

Contractor System Administrators: Administrator

Contractor Developers: Administrator

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

Access to Business and CSR Portals are determined by their roles of the employees and maintained through BEARS (Business Entitlement Access Request System) formerly known as OL5081 (system access request), which is approved by managers and system

administrators. Access is based on hierarchy roles and permissions. Access to Employee Portal is determined by the role of the employee and maintained through BEARS (Business Entitlement Access Request System) formerly known as OL5081 (system access request), which is approved by managers and system administrators. Access is based on hierarchy roles and permissions.

## **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 Employee Portal will be erased or purged from the system in accordance with approved retention periods. IRS Web Portal data retention is done in accordance with RCS item 29 and items 85, 87, 88, and 129 in addition to IRM 1.15.6 Managing Electronic Records. All records will be destroyed in accordance with the applicable Records Control Schedules. Audit Records are retained in accordance with GRS 3.2, item 030 and 031.

## **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?*

1/3/2023

*Describe the system's audit trail.*

The system will be using Integrated Enterprise Portal (IEP) audit trail. The IEP audit trail capability is documented in detail in the IRIS Web Portal/Employee Portal System Security Plan. This document and related security documents which contain IEP audit information are regularly updated and reviewed. Integrated Enterprise Portal (IEP) systems are connected to a centralized log management solution. Auditable events are transmitted via secured connections for real-time analysis of security alerts generated by network devices, hardware,

and applications. Logs and alerts are analyzed, correlated, classified, and interpreted by security analysts. The collection and management of auditable data complies with IRS, Treasury and other federal requirements which require the following data elements to be audited.

## **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?*

11/1/2022

*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?*

Stored in internal team SharePoint site.

## **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: 50,000 to 100,000

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