

Date of Approval: 05/20/2024
Questionnaire Number: 1183

Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

ECM_EDI_3949A_TEGE_CRM

Business Unit

Enterprise Case Management Office

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

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

Enterprise Case Management (ECM) is an application platform and enterprise solution for managing case records involving internal (IRS) and external (non-IRS) entities. It's a Cloud-based system, with components deployed on IRS premises and in AWS GovCloud (US-West region). ECM consolidates legacy and standalone case management systems across the IRS, with the purpose of providing efficient and effective methods of conducting tax-collection services and collaboration between IRS Business Operating Divisions (BODs). ECM access is restricted to internal IRS users, cleared contractors, and a small group of Treasury Inspector General for Tax Administration (TIGTA) users. ECM is not Internet-facing and is not directly Internet-accessible. ECM acquires information from two non-IRS systems and provides system diagnostic data to the application platform vendor. In addition to its intended use for managing taxpayer case records, a sampling of ECM applications currently in use include those used to manage grants, submission of the Records Management Checklist for Separating Employees, and IRS employee conduct allegations involving harassment and

labor relations. As more IRS BODs send case records to ECM, hundreds of applications will be built in ECM to manage their business processes. This PCLIA will cover Tax Exempt & Government Entities (TE/GE) Exempt Organization Customer Support (EOCS), Equity, Diversity & Inclusion Anti-Harassment Program (Employee Conduct), and external Referrals - Form 3949-A (External Referrals) applications renewal and Change Request Management application.

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).

SBU/PII data is used to: Provide foundational capabilities to ensure multiple business processes can be integrated over time. This PII data is used to identify related tax cases, ability to adjust or changes to an entity's account, to authenticate an entity and for generation of correspondence and documents related to the entity. All information is essential. All SBU/PII is used to support case inventory control, inventory monitoring (i.e., by group and case worker), as well as reporting functions. ECM maintains inventory of cases being resolved for the IRS. No data is redundant or unnecessary.

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
Agency Sensitive Information
Alien Registration Number
Bar Codes
Centralized Authorization File (CAF)
Criminal Investigation Information
Criminal Record
Document Locator Number (DLN)
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)

Medical History
Name
Non-Tax Proprietary data
Official Use Only (OUO) or Limited Office Use (LOU)
Other
Personal Characteristics
Preparer Taxpayer Identification Number (PTIN)
Professional License Number
Protected Information
Social Security Number (including masked or last four digits)
Standard Employee Identifier (SEID)
Tax ID Number
Telephone Numbers

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

Signature

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

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

SSN for personnel administration IRS employees - 5 USC and Executive Order 9397

SSN for tax returns and return information - IRC section 6109

Product Information (Questions)

1.1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?

No

1.3 What type of project is this (system, project, application, database, pilot/proof of concept, power platform/visualization tool)?

System

1.35 Is there a data dictionary for this system?

Yes

1.36 Explain in detail how PII and SBU data flow into, through and out of this system.

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1.4 Is this a new system?

No

1.5 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this system?

Yes

1.6 What is the PCLIA number?

5218 (TEGE)

6127(EDI)

6166(3949A)

1.7 What are the changes and why?

Expiring ECM TEGE, EDI, and 3949A (External Referral) PCLIA's and a new Change Requirement Management, a small internal request management component has been added.

1.8 If the system is on the As-Built-Architecture, what is the ABA ID of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID for each application covered separated by a comma.

All are components of ECM platform: 211232

1.9 What OneSDLC State is the system in (Allocation, Readiness, Execution)?

Execution

1.95 If this system has a parent system, what is the PCLIA Number of the parent system?

5218 (TEGE)

6127(EDI)

6166(3949A)

2.1 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? Contact Disclosure to determine if an accounting is required. Enter "Yes" or "No". If Exempt, type "Exempt".

No

2.2 Please provide the full name of and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.

Enterprise Case Management (ECM) Governance Board and the Strategic Development Executive Steering Committee (SD ESC)

3.1 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?

No

3.3 Does this system use cloud computing?

Yes

3.31 Please identify the Cloud Service Provider (CSP), FedRAMP Package ID, and date of FedRAMP authorization.

AWS GovCloud, F1603047866, 06/21/2016

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

IRS

3.32 Does the CSP allow auditing?

Yes

3.33 Please indicate the background check level required for the CSP (None, Low, Moderate or High).

High

3.4 Is there a breach/incident plan on file?

No

3.5 Does the data physically reside in systems located in the United States and its territories and is all access and support of this system performed from within the United States and its territories?

Yes

3.6 Does this system interact with the public through a web interface?

No

3.7 Describe the business process allowing an individual to access or correct their information.

Access is determined by the roles of the employee and maintained through Business Entitlement Access Request System (BEARS).

4.1 Who owns and operates the system (IRS Owned and Operated, IRS Owned and Contractor Operated, Contractor Owned and Operated)?

IRS Owned and Operated

4.2 If a contractor owns or operates the system, does the contractor use subcontractors?

No

4.5 Identify the roles and their access level to the PII data. For contractors, indicate whether their background investigation is complete or not.

IRS Employees

- Users, Read and Write

- Managers, Read and Write
- Sys. Administrators, Administrator
- Developers, Read and Write

Contractor Employees

- Contractor Sys. Admin., Administrator
- Contractor Developers, Read and Write

4.51 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

4.52 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”.

Under 5,000

4.53 How many records in the system are attributable to members of the public? Enter “Under 5,000”, “5,000 to 10,000”, “More than 10,000” or “Not applicable”.

Not Applicable

4.54 If records are attributable to a category not mentioned above in 4.51 through 4.53, please identify the category and the number of corresponding records to the nearest 10,000. If none, enter "Not Applicable".

Not Applicable

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

Access to SBU/PII is determined by the roles 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 in ECM is based on hierarchy, roles and permissions.

5.1 Please describe any privacy risks, civil liberties and/or security risks identified for the system that need to be resolved and what is the mitigation plan?

There is currently not a way to eliminate the use of the social security number since it is required for tax reporting purposes.

5.11 Is there a Risk Assessment Form and Tool (RAFT) associated with this system on file with your organization or the IRS Risk Office.

No

5.2 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

Federal Investigative Standards - Tax Check Service (FIS-TCS)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Totally Automated Personnel System (TAPS)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Interface Type

Forms

Agency Name

4442-Inquiry Referral

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Business Master File (BMF)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Tax Check Program (TCP)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method
Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name
Automated Background Information System (ABIS)

Incoming/Outgoing
Both

Transfer Method
Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name
Integrated Data Retrieval System (IDRS)

Incoming/Outgoing
Incoming (Receiving)

Transfer Method
Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name
Employee Plans-Exempt Organization Determination System (EDS)

Incoming/Outgoing
Incoming (Receiving)

Transfer Method
Application to Application (A2A)

Interface Type

Forms

Agency Name
4506a-Request for Public Inspection or Copy of Exempt or Political Organization IRS Form

Interface Type

Forms

Agency Name
3949-A-Information Referral

Incoming/Outgoing
Incoming (Receiving)

Transfer Method
Application to Application (A2A)

Interface Type

Forms

Agency Name

4506b-Request for Copy of EO Application

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Interface Type

Forms

Agency Name

8822-Change of Address

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Interface Type

Other Federal Agencies

Agency Name

Treasury Inspector General for Tax Administration

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

IRS Document Upload Tool (DUT)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Modified EO-EP Determination System (MEDS)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

Personnel and Payroll Records

SORN Number & Name

IRS 22.061 - Information Return Master File

Describe the IRS use and relevance of this SORN.

Info. Return data

SORN Number & Name

IRS 26.019 - Taxpayer Delinquent Account Files

Describe the IRS use and relevance of this SORN.

IRS and Treasury Employee Delinquency data

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

CADE Business Master File data

SORN Number & Name

IRS 34.021 - Personnel Security Investigations

Describe the IRS use and relevance of this SORN.

Security Investigations data

SORN Number & Name

DO .311 - TIGTA Office of Investigations Files

Describe the IRS use and relevance of this SORN.

TIGTA files

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

Audit Trail Records

SORN Number & Name

IRS 34.022 - Automated Background Investigations System
(ABIS)

Describe the IRS use and relevance of this SORN.

Background Investigations data

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

CADE Individual Master File data

SORN Number & Name

DO .007 - General Correspondence Files

Describe the IRS use and relevance of this SORN.

Correspondences

SORN Number & Name

IRS 42.001 - Examination Administrative Files

Describe the IRS use and relevance of this SORN.

Examination data

SORN Number & Name

IRS 00.333 - Third Party Contact Records

Describe the IRS use and relevance of this SORN.

Third Party Contact data

SORN Number & Name

IRS 36.001 - Appeals, Grievances and Complaints Records

Describe the IRS use and relevance of this SORN.

Appeals, Grievances, and Complaints Records

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

29 Tax Administration - Wage and Investment

What is the GRS/RCS Item Number?

54

What type of Records is this for?

Electronic

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

Power of Attorney (POA)/Tax Information Authorization (TIA), Centralized Authorization File (CAF). Authorization for a third party to act on 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.

What is the disposition schedule?

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 SDLN on the POA or TIA. (Job No. NC1-58-85-10, Item 54)

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

20 - Administration/Organization Support Operational Records

What is the GRS/RCS Item Number?

118(B)

What type of Records is this for?

Electronic

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

Employee Tax Compliance (ETC) System). ETC System is used to manage IRS employee potential tax non-compliance case inventory. (Job No. N1-58-07-12) (B) System Data: Maintains data relevant to those IRS employees under investigation for possible non-compliance with IRS employee tax filing requirements. Data includes employee name, address, DOB, job series and grade, SSN, and tax owed. It also includes information about the IRS employees working the ETC cases, their comments and/or case description, as well as audit trails that identify and monitor the administrative actions within the system. When the case is referred to an employee's manager or there is an advisory issued for the employee, a record is downloaded to the Automated Labor and Employee Tracking System (ALERTS).

What is the disposition schedule?

Cut off after final resolution of case. Delete by degaussing or purging system of case 5 years after cutoff.

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

2.8: Employee Ethics Records

What is the GRS/RCS Item Number?

Item 010

What type of Records is this for?

Electronic

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

General ethics program records. Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical

conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes:

- Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.
- Determinations, including advice and counseling to individual employees, and supporting records.
- Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

What is the disposition schedule?

Temporary. Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

23 Tax Administration - Examination

What is the GRS/RCS Item Number?

64

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

No Claim for Reward Informants Correspondence.

Correspondence with the public regarding alleged violations for which no claim for reward has been or will be filed. (Job No. NC1-58-79-6, Item 18) a) Informants' correspondence that does not warrant an investigation, and the information is closed on survey without association of returns. b) Informants' correspondence that warrants an investigation and the information is closed by completion of an examination.

What is the disposition schedule?

- a) Destroy 3 years after information is closed on survey. b) Destroy 3 years after case is closed.

Data Locations

What type of site is this?

System

What is the name of the System?

ECM

What is the sensitivity of the System?

Federal Tax Information (FTI)

Please provide a brief description of the System.

Enterprise Case Management (ECM) is a business-driven transformation initiative that will modernize business processes and consolidate case management functions/systems across the IRS.