

Date of Approval: 05/10/2024  
Questionnaire Number: 1019

## Basic Information/Executive Summary

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

ECM\_Grants

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 a business-driven transformation program that will modernize and migrate business processes into an end-to-end enterprise solution. ECM submitted Privacy and Civil Liberties Impact Assessment (PCLIA)s covering Tax Exempt/Government Entities (TE/GE) Exempt Organization (EO) Customer Support, Equity Diversity & Inclusion (EDI) Anti-Harassment and Human Capital office (HCO) Labor Relations, W&I Submission Processing Form 3949A External Referrals, and Privacy, Government Liaison and Disclosure (PGLD) Records Separating Employee Clearance (SEC) business processes and Exam Line of Business. This PCLIA will cover Wage & Investment Grants Management. The following services are included for Grants Management Grants Program Office & Business Administrator users 1. Ability to create, open, or close cases 2. Ability to assign, reassign or transfer a case 3. Ability to refer or review case 4. Ability to upload artifacts, including documents scanned from a device on the internal IRS network 5. Ability to access historical data and legacy case data 6. Ability to translate scanned documents into a

readable format 7. Generate user notifications/alerts for end users 8. Ability to access out of the box reporting and ability to create additional reports. The ECM Grants Management application also integrates with pay.gov and grants.gov for grants applications and payments information.

## 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 make adjustments 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  
Agency Sensitive Information  
Centralized Authorization File (CAF)  
Criminal Record  
Email Address  
Employer Identification Number  
Employment Information  
Federal Tax Information (FTI)  
Financial Account Number  
Individual Taxpayer Identification Number (ITIN)  
Name  
Non-Tax Proprietary data  
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

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 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?

No

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?

5909

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.

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?  
6606

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".

This system does not disclose any PII to any third party outside the IRS.

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, 01/28/2020

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

N/A

3.32 Does the CSP allow auditing?

No

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.

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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               | Yes | Read and Write |
| Managers            | Yes | Read and Write |
| Sys. Administrators | Yes | Administrator  |
| Developers          | Yes | Read and Write |

Contractor Employees

|                        |     |                |      |
|------------------------|-----|----------------|------|
| Contractor Sys. Admin. | Yes | Administrator  | High |
| Contractor Developers  | Yes | Read and Write | High |

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

MTRDB

### Incoming/Outgoing

Incoming (Receiving)

### Agency Agreement

No

### Transfer Method

Application to Application (A2A)

**Interface Type**

Other Federal Agencies

Agency Name

pay.gov

Incoming/Outgoing

Incoming (Receiving)

Agency Agreement

No

Transfer Method

Application to Application (A2A)

**Interface Type**

IRS Systems, file, or database

Agency Name

Integrated Data Retrieval System (IDRS)

Incoming/Outgoing

Incoming (Receiving)

Agency Agreement

No

Transfer Method

Application to Application (A2A)

**Interface Type**

Other Federal Agencies

Agency Name

grants.gov

Incoming/Outgoing

Incoming (Receiving)

Agency Agreement

No

Transfer Method

Application to Application (A2A)

## **Systems of Records Notices (SORNs)**

**SORN Number & Name**

IRS 22.061 - Information Return Master File

Describe the IRS use and relevance of this SORN.

Obtain Information Return data

**SORN Number & Name**

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.  
Obtain Individual Account data

**SORN Number & Name**

IRS 00.333 - Third Party Contact Records

Describe the IRS use and relevance of this SORN.  
Maintain Third Party Contact information

**SORN Number & Name**

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.  
Obtain Business Master File data

## **Records Retention**

**What is the Record Schedule System?**

Record Control Schedule (RCS)

What is the retention series title?

Records Control Schedule (RCS) 29

What is the GRS/RCS Item Number?

Item 440

What type of Records is this for?

Electronic

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

Any records generated and maintained by the system will be managed according to requirements under IRM 1.15.1 and 1.15.6 and will be destroyed using IRS Records Control Schedule (RCS) 29, Item 440 SPEC (Stakeholder Partnerships, Education and Communication) Grant Application Files and Cooperative Agreements, and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer.

What is the disposition schedule?

According to requirements under IRM 1.15.1 and 1.15.6.

## **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 program that will modernize and migrate business processes into an end-to-end enterprise solution.

What are the incoming connections to this System?

No incoming connection to the system.

What are the outgoing connections from this System?

No outgoing connection to the system.