

Date of Approval: 10/31/2024
Questionnaire Number: 1435

Basic Information/Executive Summary

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

Adoption Taxpayer Identification Number

Acronym:

ATIN

Business Unit

Taxpayer Services

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.

IRS Adoption Taxpayer Identification Number (ATIN) is a temporary identification number assigned by the IRS to a child who has been placed by an authorized placement agency in the household of a perspective adoptive parent for legal adoption. Prospective adoptive parents must have an ATIN to claim certain tax benefits such as the Dependency Exemption, Adoption Credit, Child Tax Credit and the Credit for Child and Dependent Care Expenses.

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).

The system uses taxpayer entity data, ATIN applicant entity data and, potentially, Adoption Agency entity data to research and process ATIN applications and to possibly assign an ATIN to the applicant. The entity data is used to generate correspondence to the taxpayer(s)/applicant which informs them of the status of their application. If an ATIN is assign, requisite applicant entity information is sent to update other Corporate Files within the Service. The information supplied to these Corporate Files is used to validate the applicant information upon receipt of a tax return.

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

Document Locator Number (DLN)

Employer Identification Number

Family Members

Federal Tax Information (FTI)

Name

Official Use Only (OUO) or Limited Office Use (LOU)

Other

Social Security Number (including masked or last four digits)

Tax ID Number

Telephone Numbers

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

Date of Birth and Gender

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 and database

1.35 Is there a data dictionary for this system?

ATIN doesn't have a data dictionary because this wasn't a requirement at the time the project was created. Nor has it been raised as an issue on any prior PCLIA submitted and approved.

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

The data is provided by the adoptive parent(s) on the Application for an ATIN (Form W-7A). The data provided is used to research to see if an ATIN can be assigned to the child for which the application was submitted. The data is used to correspond with those who submitted the application. The data is used to update some corporate files should an ATIN be assigned to the child for which the application was submitted.

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?

PCLIA # 6384

1.7 What are the changes and why?

There are no changes per se. This effort is to renew the expiring ATIN PCLIA. If any new information is provided, it is completely incidental as this PCLIA is being created on a new system and, therefore, there may be new or different questions.

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.

210022

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

Execution

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".

System does not disclose PII to third parties 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.

Corporate Data Governance Board (CP GB)

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?

No

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

3.64 If the individual was not notified of the following items prior to the collection of information, why not? 1) Authority to collect the information 2) If the collection is mandatory or voluntary 3) The purpose for which their information will be used 4) Who the information will be shared with 5) The effects, if any, if they don't provide the requested information.

All information provided by the taxpayer on Form W7A is voluntary but required when applying for an ATIN.

3.65 If information is collected from third-party sources instead of the individual, please explain your decision.

All information on Form W-7A is supplied by the taxpayer.

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

No individual outside the IRS can access their information within the ATIN system directly. The adoptive parent(s) can contact the IRS and/or respond to correspondence to update information contained within the ATIN system.

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

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

Access to this information is limited to Tax Examiners approved by management to be given access via SACS Security.

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".

Not Applicable

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".

More than 10,000

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 data within the ATIN system is provided via IDRS command codes written for the system. Access to and use of these command codes is determined by management at the various campuses around the country. Employees must have these command codes added to their user profile.

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 are no risks that need to be addressed or resolved.

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

Notice Delivery System (NDS)

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Notice Conversion (NC)

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Integrated Data Retrieval System (IDRS)

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Notice Print Processing (NPP)

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Generalized Mainline Framework (GMF)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

End of Day (EOD)

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Other Transfer Method

Files created on the same mainframes

Interface Type

IRS Systems, file, or database

Agency Name

National Account Profile (NAP)

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Application to Application (A2A)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

This is used to monitor and record who accesses the data stored within the ATIN system and what actions they took while doing so.

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

The information housed within this system is used to research and process Application for ATINs (Form W-7A), to correspond with the applicant/taxpayer and, when applicable, update corporate files with assignment information.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

IRS Electronic Tax Administration (ETA)

What is the GRS/RCS Item Number?

RCS 32, item 51

What type of Records is this for?

Paper

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

ATIN issues temporary tax identification numbers until a Social Security Number (SSN) can be obtained for a child in the process of being adopted.

What is the disposition schedule?

AUTHORIZED DISPOSITION Delete 6 years after the processing year in which ATIN is issued.