

Date of Approval: 05/02/2025
Questionnaire Number: 2283

Basic Information/Executive Summary

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

Enterprise Notices Digital

Acronym:

END

Business Unit

Information Technology

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 Notices Digital (END) is under Applications Development (AD) Corporate Data and is developing a solution that implements Digital Notices capabilities at the IRS for letters/notices/forms. The current notice generation product is called OpenText xPression which is being phased out, and the project team will be leveraging the OpenText Exstream product to deliver a 508-compliant correspondence solution that provides multilingual capabilities. The project team will develop Java-based microservices for the END solution.

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).

END requires the use of SSNs because no other identifier can be used to uniquely identify a taxpayer at this time. The use of SSNs is permissible from Internal Revenue Code (IRC) 6109, which requires individual taxpayers to include their SSNs on their income tax returns.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Address

Employer Identification Number

Internet Protocol Address (IP Address)

Name

Other

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

Tax ID Number

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

Date of Birth, Tax Account Information

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 Is this PCLIA a result of a specific initiative or a process improvement?

Yes

1.1 What is the name of the Business Unit (BU) or Agency initiative?

AD Corporate Data

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

Project

3 What Tier designation has been applied to your system? (Number)

5

4 Is this a new system?

No

4.1 Is there a previous Privacy and Civil Liberties Impact Assessment (PCLIA) for this project?

Yes

4.11 What is the previous PCLIA number?

8507

4.12 What is the previous PCLIA title (system name)?

Notice Conversion

4.2 You have indicated this is not a new system; explain what has or will change and why. (Expiring PCLIA, changes to the PII or use of the PII, etc.)

This is not a new PCLIA. A PCLIA was submitted and approved for this project last year (PIA 8507). We have been told that each application should have its own PCLIA, and this should be labelled as Enterprise Notices Digital (END) for the PCLIA memo, not as Notice Conversion. All other information in the PCLIA remains the same. Additionally, there is a new ABA entry for END which had not been completed at the time we submitted for PIA 8507. The ABA entry for END is ID 211593.

5 Is this system considered a child system/application to another (parent) system?

Yes

5.1 Identify the parent system's approved PCLIA number.

Yes

5.2 Identify the parent system's name as previously approved.

Notice Conversion, NC

6 Indicate what OneSDLC State is the system in (Allocation, Readiness, Execution) or indicate if you go through Information Technology's (IT) Technical Insertion Process and what stage you have progressed to.

Execution

7 Is this a change resulting from the OneSDLC process?

Yes

8 Please provide the full name and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.
Corporate Data Domain (CPD)

9 If the system is on the As-Built-Architecture (ABA), what is the ABA ID number of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID number(s) for each application covered separated by a comma. If the system is not in the ABA, then contact the ABA (<https://ea.web.irs.gov/aba/index.html>) for assistance.

211593

10 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?

Yes

11 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 and 14110?

No

12 Does this system use cloud computing?

No

13 Does this system/application interact with the public?

No

14 Describe the business process allowing an individual to access or correct their information. (Due Process)

The notice contains verbiage that identifies due process when applicable.

15 Is this system owned and/or operated by a contractor?

IRS Owned and Operated

16 Identify what role(s) the IRS and/or the contractor(s) performs; indicate what access level (to this system's PII data) each role is entitled to. (Include details about completion status and level of access of the contractor's background investigation was approved for.)

IRS Sys. Administrators - Read and Write

IRS Developers - Read-Only

17 The Privacy Act of 1974 (5 USC § 552a(e)(3)) requires each agency that maintains a system of records, to inform each individual requested to supply information about himself or herself. Please provide the Privacy Act Statement presented by your system or indicate a Privacy Act Statement is not used and individuals are not given the opportunity to consent to the collection of their PII.

A Privacy Act Statement is not used as the Enterprise Notices Digital (END) system does not collect PII from users directly.

18 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".

Not Applicable

19 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

20 How many records in the system are attributable to members of the public? Enter "Under 100,000", "100,000 to 1,000,000", "More than 1,000,000" or "Not applicable".

More than 1,000,000

21 Identify any "other" records categories not attributable to the categories listed above; identify the category and the number of corresponding records, to the nearest 10,000; if no other categories exist, enter "Not Applicable".

Not Applicable

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

All production access is a BEARS (Business Entitlement Access Request System) request. Managers approve the request after verification of a need to know.

23 Is there a data dictionary on file for this system? Note: Selecting "Yes" indicates an upload to the Attachment Section is required.

No

24 Explain any privacy and civil liberties risks related to privacy controls.

The Office of Management and Budget Circular 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.

25 Please upload all privacy risk finding documents identified for the system (Audit trail, RAFT, POA&M, Breach Plan, etc.); click "yes" to confirm upload(s) are complete.

No

26 Describe this system's audit trail in detail. Provide supporting documents.

Enterprise Notices Digital (END) is a batch processing system with no end users. The control status is inherited to reflect the results and guidelines of the Linux and Oracle Audit Plans with items categorized as Moderate. Application-level audit trails monitor and log user activities. At a minimum, an event record shall specify the following: Data files opened and closed; Specific actions, such as reading, editing; and Deleting records or fields, and printing reports.

27 Does this system use or plan to use SBU data in a non-production environment?

Yes

27.1 Please upload the Approved Email and one of the following SBU Data Use Forms, Questionnaire (F14664) or Request (F14665) or the approved Recertification (F14659). Select Yes to indicate that you will upload the Approval email and one of the SBU Data Use forms.

No

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Business Master File (BMF)

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Individual Master File (IMF)

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.
Generation of notices

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.
Generation of notices

SORN Number & Name

IRS 26.019 - Taxpayer Delinquent Account Files

Describe the IRS use and relevance of this SORN.
Generation of notices

SORN Number & Name

IRS 22.054 - Subsidiary Accounting Files

Describe the IRS use and relevance of this SORN.
Generation of notices

SORN Number & Name

IRS 26.020 - Taxpayer Delinquency Investigation Files

Describe the IRS use and relevance of this SORN.
Generation of notices

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.
Generation of notices

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

29 Tax Administration-TS

What is the GRS/RCS Item Number?

Records Control Schedule (RCS) 29, Item 429

What type of Records is this for?

Electronic

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

Enterprise Notices Digital (END) is a modernized notice composition system used to process notice data via a single composition tool.

What is the disposition schedule?

(A) Inputs: Inputs to Notice Conversion include data extracted from numerous electronic individual and business taxpayer data files using the Customer Account Data Engine (CADE). (GRS 5.2, Item 020; Job No. DAA-GRS-2017-0003-0002) AUTHORIZED DISPOSITION Delete/Destroy any cached input files following validation of receipt by the system. (B) System Data: Notice Conversion consists of batch files of taxpayer data reformatted for use in composed settlement notices. (Job No. N1-58-09-76) AUTHORIZED DISPOSITION Delete 14 days after receipt. (C) Outputs: Settlement notice data is composed into specified business owner formats and distributed for print/mail to the taxpayer. (GRS 5.2, Item 020; Job No. DAA-GRS-2017-0003-0002) AUTHORIZED DISPOSITION Delete/Destroy within 14 days after distribution

Data Locations

What type of site is this?

System

What is the name of the System?

Enterprise Notices Digital (END)

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System.

Enterprise Notices Digital (END) stores data in object buckets in Enterprise Container Platform (ECP). Note that data is stored only internally for END.

What are the incoming connections to this System?

Business Master File (BMF) and Individual Master File (IMF) via Notice Conversion (NOTCON) consumer.

What are the outgoing connections from this System?

Business Master File (BMF) and Individual Master File (IMF) via Notice Conversion (NOTCON) consumer.