

Date of Approval: 03/20/2024
Questionnaire Number: 1090

Basic Information/Executive Summary

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

Notice Print Processing, NPP

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.

The Notice Prints Processing (NPP) project encompasses the printing of notices from a variety of sources. This constitutes the primary notice to taxpayers as to the status of tax filings (balance due, and delinquencies). Notice print files are sent to various Computing Centers/Service Centers and/or National Print Sites East. These programs are an integral part of the overall IRS system because they produce taxpayer notices which are critical to accomplishing our mission.

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).

This information must be verifiable so the Tax Examiners (TEs) can determine the accuracy of notices before they are mailed out to the taxpayer. There is no alternative to the use of the SSN. The SSN is the significant part of the data being processed. SSNs are 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

Bar Codes

Employer Identification Number

Individual Taxpayer Identification Number (ITIN)

Name

Preparer Taxpayer Identification Number (PTIN)

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

Tax ID Number

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

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)?

Project

1.35 Is there a data dictionary for this system?

No, there is no data dictionary for this system.

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

The NPP system contains taxpayers' Personally Identifiable Information (PII) which it receives in the form of flat files. This information is necessary for the Tax Examiners (TEs) to perform a thorough review, update and reconcile notices before they are mailed out to the taxpayers. The PII includes all the common taxpayer information, as well as, Social Security Numbers (SSN), Individual Taxpayer Identification Numbers (ITIN), Document Locator Number (DLN), penalties, interest, payments and Entity information. Any changes made by TEs to

taxpayer notice data is tracked by their Standard Employee Identification (SEID), not by name or SSN. The PII and SBU data come into NPP via input records sent from our data providers. We process the data and output Notices that get sent to the taxpayers.

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?

MS4B, #3389

1.7 What are the changes and why?

No changes made to the system. Needed to get PCLIA in new system as the old system no longer worked.

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.

210003,210067,210055,210090,210022,210124,210101,210165,210319,210399,210383,210334,210490,210599,210812,210839,210842,210912,211016,211059,211056,211124

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?

No

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.

NPP reports to the 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, not that I am aware of.

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

3.61 If the system requires the user to authenticate, was a Digital Identity Risk Assessment (DIRA) conducted?

No

3.62 Please upload the approved DIRA report using the Attachments button.

There is not a DIRA that I am aware of.

3.63 If individuals do not have the opportunity to give consent to collect their information for a particular use, why not?

NPP does not collect individual data.

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.

NPP does not collect individual data.

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

No information is collected from third-party sources.

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

No individual access is allowed.

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.

Users - Read/Write

Managers - Read/Write

Sys. Administrators - Read/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".

Not Applicable

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?

The NPP system utilizes the IRS On-Line application BEARS application to document approvals for access. Data access is granted on a need-to-know basis. A potential user must submit a request for access via IRS BEARS to their local management for approval consideration. Users are not permitted access without a signed BEARS form from an authorized management official. Specific permissions (Read, Write, Modify, Delete, and/or Print) are defined on the BEARS form and set (activated) by the System Administrator prior to the user being allowed access. User privileges and user roles determine the types of data that each user has access to. Management monitors system access and removes permissions when individuals no longer require access. Users are assigned to specific modules of the application and specific roles within the modules and accounts follow the principle of least privilege which provide them the least amount of access to PII data that is required to perform their business function after receiving appropriate approval.

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?

No

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

5.3 Please upload the approved SBU Data Use Questionnaire or Request. If the request has been recertified, please upload the approved recertification form. Select Yes to indicate that you will upload the SBU Data Use form.

No. I do not know what this is.

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Business Master File

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Partnership Control System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Correspondence Letter System (IDRS:CORRESPONDEXCRX)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

EIN Research & Assignment System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Adoption Taxpayer Identification Number

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Income Verification Express Service

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Automated Lien System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Registered Preparer Initiative Preparer Tax Identification Number

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Payer Master File

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Audit Information Management System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Automated Substitute for Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Tax Delinquent Account (IDRS:TDA)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Dishonored Check File (IDRS:DCF)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

Other Federal Agencies

Agency Name

Social Security Administration

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Centralized Authorization File (IDRS:CAF)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

1099 Pro

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Statutory Notices of Deficiency (IDRS:STN)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Employee Plans Master File

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Form Number

Agency Name

Federal Payment Levy Program

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Integrated Data Retrieval System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Unidentified Remittance File (IDRS:URF)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

IRP Civil Penalty (PMF:IRPCIVPEN)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

End of Day Processing

Incoming/Outgoing

Incoming (Receiving)

Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database
Agency Name
Backup Withholding
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database
Agency Name
Individual Master File
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database
Agency Name
Automated Collection System
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File
Describe the IRS use and relevance of this SORN.
Business Master File

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control
Files
Describe the IRS use and relevance of this SORN.
Correspondence

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

Audit Trail and Security Records System

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

Individual Master File

Records Retention

What is the Record Schedule System?

Non-Record

What is the retention series title?

Intermediary Records

What is the GRS/RCS Item Number?

GRS/RCS: GRS 5.2, item 020

What type of Records is this for?

Both (Paper and Electronic)

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

Records that meet the following conditions: ☐ They exist for the sole purpose of creating a subsequent record and ☐ They are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

What is the disposition schedule?

Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use, whichever is later.