Date of Approval: 04/02/2024 Questionnaire Number: 1132

Basic Information/Executive Summary

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

Social Security Administration/Railroad Retirement, SSA/RRB-1099

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.

This system is a batch process that receives records from Social Security Administration (SSA) and Railroad Retirement Board (RRB) and assists in creating the Information Returns Master File (IRMF) records for further processing. It is accomplished by validating data and reformatting that data into required record layout. The system also helps to continue Identity Theft rules.

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).

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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

Individual Taxpayer Identification Number (ITIN)

Name

Social Security Number (including masked or last four digits)

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)?

 Application
- 1.35 Is there a data dictionary for this system?
- 1.36 Explain in detail how PII and SBU data flow into, through and out of this system. This system is a batch process that receives records from Social Security Administration (SSA) and Railroad Retirement Board (RRB) and assists in creating the Information Returns Master File (IRMF) records for further processing. It is accomplished by validating data and reformatting that data into required record layout. The system also helps to continue Identity Theft rules.
- 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? 5876
- 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.

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- 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? Not Applicable
- 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.

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

- 3.6 Does this system interact with the public through a web interface?
- 3.7 Describe the business process allowing an individual to access or correct their information.

Individuals cannot access or correct the information; this is an input from the Social Security Administration or Railroad Retirement Board.

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

IRS Owned

- 4.2 If a contractor owns or operates the system, does the contractor use subcontractors?
- 4.5 Identify the roles and their access level to the PII data. For contractors, indicate whether their background investigation is complete or not.

For in-house temporary access to review production data for the purpose of debugging a production run error, the employee must use the Knowledge Incident/Problem Service Asset Management (KISAM) ticketing process. The ticket must be sent to the XXXXXXXXXXX Computing Center's (XCC) Security Group giving them specificities about why the data needs to be accessed, the type of access needed, and then a request for temporary password for IBM system. None.

- 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".

 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 is given through BEARS. The only access is READ access.
- 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?

None, we receive the file directly from SSA and RRB though a connect direct access, once the file is passed, a mainframe job reads and converts the data format for further processing by the IRS systems.

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?

Interfaces

Interface Type

Other Federal Agencies

Agency Name

Social Security Administration

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

Other Federal Agencies

Agency Name

Railroad Retirement Board

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 22.061 - Information Return Master File

Describe the IRS use and relevance of this SORN.

The output is processed through the Information Return Master File

Records Retention

What is the Record Schedule System?
General Record Schedule (GRS)

What is the retention series title?

RS Records Control Schedules (RCS) 18, Item 87

What is the GRS/RCS Item Number?

18

What type of Records is this for?

Electronic

Please provide a brief description of the chosen GRS or RCS item. All records housed in the SSA-RRB 1099 System will be erased or purged from the system in accordance with approved retention periods. It is the official repository for data and documents and has National Archives approval to affect data disposition. Any new records generated 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 Schedules (RCS) 18, Item 87 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer.

What is the disposition schedule?

will be destroyed using IRS Records Control Schedules (RCS) 18, Item 87 and as coordinated with the IRS Records and Information Management (RIM) Program and IRS Records Officer.

Data Locations

What type of site is this?

System

What is the name of the System?

Information Returns Processing Validation & Perfection (IRP VAL)

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data Please provide a brief description of the System.

This system is a batch process that receives records from Social Security Administration (SSA) and Railroad Retirement Board (RRB) and assists in creating the Information Returns Master File (IRMF) records for further processing. It is accomplished by validating data and reformatting that data into required record layout. The system also helps to continue Identity Theft rules.

What are the incoming connections to this System?

Connect direct access through EFTU for both the Social Security Administration and the Railroad Retirement Board.

What are the outgoing connections from this System? Information Returns Master File (IRMF)