

Date of Approval: 07/30/2024
Questionnaire Number: 1296

Basic Information/Executive Summary

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

Taxpayer Identification Number (TIN) Validation (TINV-ECS)

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.

TINV - Taxpayer Identification Number Validation - This is a common service that allows internal IRS applications to validate Taxpayer Identification numbers for individuals and businesses.

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).

IRS applications utilize the TIN Validation service to validate both individual SSNs and employer EINs. TINV-ECS requires the use of SSN's because no other identifier can be used to uniquely identify a taxpayer. 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.

Name

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)?

Application

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.

No

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 # 6664 (TINV-ECS)

1.7 What are the changes and why?

Update the PCLIA with accurate information from ASCA vulnerability.

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.

211083

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".

Exempt

2.2 Please provide the full name of and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.

IT portfolio board, ESGB, Enterprise Services Governance Board

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

3.5 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.

The access to and control of the Personally Identifiable Information (PII) handled by the Common Service is managed by the applications which access the Common Service. User validation and access to TIN-Validation are currently handled by eServices and the Enterprise Service Bus (ESB).

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

4.51 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”.
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”.
More than 10,000

4.6 How is access to SBU/PII determined and by whom?
Access to TINV-ECS is determined by the user’s need to know. Only System Admin or production support staff would have the typical access available to any production system through the with Business Entitlement Access Request System (BEARS) process.

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

Information Sharing & Reporting - Sharing (ISR-S)

Incoming/Outgoing

Both

Interface Type

IRS Systems, file, or database

Agency Name

Branded Prescription Drug (BPD)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Transition Database (XDB)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Taxpayer Identification Number (TIN) Matching
(ESERVICES:TINM)

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Taxpayer Identification Number Matching - Bulk (TINMB)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Information Returns Processing Validation & Perfection (IRP
VAL)

Incoming/Outgoing

Both

Transfer Method
Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Affordable Care Act Information Returns (ACA/AIR)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

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.

To identify and track any unauthorized accesses to sensitive but unclassified information and potential breaches or unauthorized disclosures of such information or inappropriate use of government computers to access Internet sites for any purpose forbidden by IRS policy (e.g., gambling, playing computer games, or engaging in illegal activity), or to detect electronic communications sent using IRS systems in violation of IRS security policy.

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

To maintain records of tax returns, return transactions, and authorized taxpayer representatives.

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

To maintain records of business tax returns, return transactions, and authorized taxpayer representatives.

SORN Number & Name

IRS 22.062 - Electronic Filing Records

Describe the IRS use and relevance of this SORN.

To administer and market electronic filing programs.

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.

To track correspondence including responses from voluntary surveys.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

General Records Schedule (GRS)

What is the GRS/RCS Item Number?

5.2

What type of Records is this for?

Electronic

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

GRS 5.2 Item 020-Intermediary records. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.

What is the disposition schedule?

According to GRS requirements.

Data Locations

What type of site is this?

Environment

What is the name of the Environment?

Production

What is the sensitivity of the Environment?

Sensitive But Unclassified (SBU)

Please provide a brief description of the Environment.

Production environment that house servers and a lower environment that is non-production servers.

What are the incoming connections to this Environment?

The consuming applications request is sent to the Enterprise Service Bus (ESB), where the ESB Controller mediates and forwards the request to the TINV-ECS endpoint in the Enterprise Common Service (ECS) instance of the ESB. The ESB also performs mediation and orchestration as well as authenticating request. The TINV-ECS constructs the appropriate response and

sends it back to ESB, where it is routed back to the consuming application.

What are the outgoing connections from this Environment?

TINV-ECS query the database. The TINV-ECS constructs the appropriate response and sends it back to ESB, where it is routed back to the consuming application.