
A. SYSTEM DESCRIPTION

Authority: Office of Management Budget (OMB) Memorandum (M) 03-22, OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002 & PVR #10-Privacy Accountability and #21-Privacy Risk Management

Date of Submission: May 8, 2012 PIA ID Number: 148

1. What type of system is this? Legacy, Non-Major System

1a. Is this a Federal Information Security Management Act (FISMA) reportable system? No

2. Full System Name, Acronym, and Release/Milestone (if appropriate):

Notice Prints Processing (NPP) CY 2012, Release/Milestone 4B

2a. Has the name of the system changed? No

If yes, please state the previous system name, acronym, and release/milestone (if appropriate):

3. Identify how many individuals the system contains information on

Number of Employees: Not Applicable

Number of Contractors: Not Applicable

Members of the Public: Over 1,000,000

4. Responsible Parties:

N/A

5. General Business Purpose of System

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). Notices 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.

6. Has a PIA for this system, application, or database been submitted previously to the Office of Privacy Compliance? (If you do not know, please contact *Privacy and request a search) Yes

6a. If Yes, please indicate the date the latest PIA was approved: 05/19/2009

6b. If Yes, please indicate which of the following changes occurred to require this update.

- System Change (1 or more of the 9 examples listed in OMB 03-22 applies) (refer to PIA Training Reference Guide for the list of system changes) No
 - System is undergoing Security Assessment and Authorization Yes
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6c. State any changes that have occurred to the system since the last PIA

No substantial changes to SBU or PII information in the system

7. If this system has an Exhibit 53 or Exhibit 300 please provide the Unique Project Identifier (UPI) number (XXX-XX-XX-XX-XXXX-XX). Otherwise, enter the word 'none' or 'NA'. Notice Prints Processing - Project ID is 2217

B. DATA CATEGORIZATION

Authority: OMB M 03-22 & PVR #23-PII Management

8. Does this system collect, display, store, maintain or disseminate Personally Identifiable Information (PII)? Yes

8a. If No, what types of information does the system collect, display, store, maintain or disseminate?

9. Indicate the category that best describes the source that provides or originates the PII collected, displayed, stored, maintained or disseminated by this system. Most common categories follow:

Taxpayers/Public/Tax Systems Yes
 Employees/Personnel/HR Systems No

Other Source: _____

Other No

10. Indicate all of the types of PII collected, displayed, stored, maintained or disseminated by this system. Then state if the PII collected is on the Public and/or Employees. Most common fields follow:

TYPE OF PII	Collected?	On Public?	On IRS Employees or Contractors?
Name	Yes	Yes	No
Social Security Number (SSN)	Yes	Yes	No
Tax Payer ID Number (TIN)	Yes	Yes	No
Address	Yes	Yes	No
Date of Birth	No	No	No

Additional Types of PII: Yes

No Other PII Records found.

10a. Briefly describe the PII available in the system referred to in question 10 above.

The NPP system contains tax payers' PII. This PII comes directly from tax payers' when they file their taxes. The PII includes all the common information provided on tax forms, as well as, Social Security #, TIN, DLN, penalties, interest, payments and Entity information. 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. Tax Examiner info on changes they make to taxpayer notice data is tracked by SEID rather than name or SSN.

If you answered Yes to Social Security Number (SSN) in question 10, answer 10b, 10c, and 10d.

10b. Cite the authority that allows this system to contain SSN's? (e.g. specific regulations, statutes, etc.)

IRS (IRC 6011, IRC 6109-1, and 26 CFR Section 301.6109-1.

10c. What alternative solution to the use of the SSN has/or will be applied to this system? (e.g. masking, truncation, alternative identifier)

None. This information must be verifiable so the TEs can determine the accuracy of notices fore they are mailed out to the tax payer. TEs common use other sources, such as Quick Prints and the IDRS system, to confirm accuracy of the tax payers' information.

10d. Describe the planned mitigation strategy and forecasted implementation date to mitigate or eliminate the use of Social Security Numbers on this system?

None. This information must be verifiable so the TEs can determine the accuracy of notices before they are mailed out to the tax payer.

11. Describe in detail the system's audit trail. State what data elements and fields are collected. Include employee log-in information. If the system does not have audit capabilities, explain why an audit trail is not needed.

The system does not have audit capability. There is no audit trail. All of these are batch processing systems. As noted in the Records Control. NPP is a non-recordkeeping process.

11a. Does the audit trail contain the audit trail elements as required in current IRM 10.8.3 *Audit Logging Security Standards*? No

12. What are the sources of the PII in the system? Please indicate specific sources:

a. IRS files and databases: Yes

If Yes, the system(s) are listed below:

<u>System Name</u>	<u>Current PIA?</u>	<u>PIA Approval Date</u>	<u>SA & A?</u>	<u>Authorization Date</u>
Fed Payment Levy Program (FPLP)	No		No	

b. Other federal agency or agencies: No

If Yes, please list the agency (or agencies) below:

c. State and local agency or agencies: No

If Yes, please list the agency (or agencies) below:

d. Third party sources: No

If yes, the third party sources that were used are:

e. Taxpayers (such as the 1040): Yes

f. Employees (such as the I-9): No

g. Other: No If Yes, specify:

C. PURPOSE OF COLLECTION

Authorities: OMB M 03-22 & Internal Revenue Manual (IRM) 10.8.8, IT Security, Live Data Protection Policy & PVR #16, Acceptable Use

13. What is the business need for the collection of PII in this system? Be specific.

Legislative. To process and generate notices to the taxpayer in order to help the IRS Mission to collect the proper amount of taxes .

D. PII USAGE

Authority: OMB M 03-22 & PVR #16, Acceptable Use

14. What is the specific use(s) of the PII?

To conduct tax administration	<u>Yes</u>
To provide taxpayer services	<u>Yes</u>
To collect demographic data	<u>No</u>
For employee purposes	<u>No</u>

If other, what is the use?

Other: No

E. INFORMATION DISSEMINATION

Authority: OMB M 03-22 & PVR #14-Privacy Notice and #19-Authorizations

15. Will the information be shared outside the IRS? (for purposes such as computer matching, statistical purposes, etc.) Yes

15a. If yes, with whom will the information be shared? The specific parties are listed below:

	Yes/No	Who?	ISA OR MOU**?
Other federal agency (-ies)	Yes	SSA	Yes
State and local agency (-ies)	No	SSA State Boards	Yes
Third party sources	No		
Other:	No		

** Inter-agency agreement (ISA) or Memorandum of Understanding (MOU)

16. Does this system host a website for purposes of interacting with the public? No

17. Does the website use any means to track visitors' activity on the Internet?

If yes, please indicate means:

	YES/NO	AUTHORITY
Persistent Cookies	_____	_____
Web Beacons	_____	_____
Session Cookies	_____	_____
Other:	_____	<i>If other, specify:</i> _____

F. INDIVIDUAL CONSENT

Authority: OMB M 03-22 & PVR #15-Consent and #18-Individual Rights

18. Do individuals have the opportunity to decline to provide information or to consent to particular uses of the information? No

18a. If Yes, how is their permission granted?

19. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action? Yes

19a. If Yes, how does the system ensure "due process"?

Taxpayers who receive notices always have the right to interact with the IRS in order to correct any mis-information to their tax account. No final determinations are made by Notice Print Processing. Only the printing of tax notices.

20. Did any of the PII provided to this system originate from any IRS issued forms? No

20a. If Yes, please provide the corresponding form(s) number and name of the form.

No forms found.

20b. If No, how was consent granted?

Written consent	_____	No
Website Opt In or Out option	_____	No
Published System of Records Notice in the Federal Register	_____	Yes
Other:	_____	No

G. INFORMATION PROTECTIONS

Authority: OMB M 03-22 & PVR #9-Privacy as Part of the Development Life Cycle, #11-Privacy Assurance, #12-Privacy Education and Training, #17-PII Data Quality, #20-Safeguards and #22-Security Measures

21. Identify the owner and operator of the system: IRS Owned and Operated

21a. If Contractor operated, has the business unit provided appropriate notification to execute the annual security review of the contractors, when required?

22. The following people have use of the system with the level of access specified:

	Yes/No	Access Level
IRS Employees:	<u>Yes</u>	
Users	_____	<u>Read Write</u>
Managers	_____	<u>Read Write</u>
System Administrators	_____	<u>Read Write</u>

Developers		No Access
Contractors:	No	
Contractor Users		
Contractor System Administrators		
Contractor Developers		
Other:	No	

If you answered yes to contractors, please answer 22a. (All contractor/contractor employees must hold at minimum, a "Moderate Risk" Background Investigation if they have access to IRS owned SBU/PII data.)

22a. If the contractors or contractor employees act as System Administrators or have "Root Access", does that person hold a properly adjudicated "High Level" background investigation?

23. How is access to the PII determined and by whom?

PII info is pass to NPP for the purpose to generate tax payer notices.

24. How will each data element of SBU/PII be verified for accuracy, timeliness, and completeness?

To verify the accuracy, timeliness and completeness, the Tax Examiners working OLN R PII data use the Quick Prints from NRPS, Control-D web and IDRS to determine the correct notice data and update the record as appropriate. NPP simply distributes the PII to print sites. At the print sites a sample set will be printed to ensure accuracy.

25. Are these records covered under the General Records Schedule (GRS), or have a National Archives and Records Administration (NARA) archivist approved a Record Control Schedule (RCS) for the retention and destruction of official agency records stored in this system? No

25a. If Yes, how long are the records required to be held under the corresponding RCS and how are they disposed of? In your response, please include the complete IRM number 1.15.XX and specific item number and title.

NPP only prints the notices. We are not a real-time system and we don't exchange data. Within IAP, records are retained for only 4 weeks. After 4 weeks everything is deleted from the system. We use IBM (IAP) Integrated Collection System/Automated Collection System Print. Reference: IRM 1.15.17, "Records Management – Records Control Schedule for Information Technology.

If No, how long are you proposing to retain the records? Please note, if you answered no, you must contact the IRS Records and Information Management Program to initiate records retention scheduling before you dispose of any records in this system.

NPP is non-recordkeeping. It is an (IAP) operational system and does not require a NARA-approved records control schedule to affect data disposition. Within IAP, data is retained for only 4 weeks. After 4 weeks everything is deleted from the system. NPP provides a (notice) print function for other IRS electronic applications. Data retention requirements for those systems are defined in the context of those recordkeeping environments (as applicable) and documented/published in Internal Revenue Service Records Control Schedules.

26. Describe how the PII data in this system is secured, including appropriate administrative and technical controls utilized.

All system access is by 5081 and is required for all users. IRS managers make the decisions on who has access and removes the access when no longer needed.

26a. Next, explain how the data is protected in the system at rest, in flight, or in transition.

5081 access is monitored and has to be revalidated yearly for continued access.

27. Has a risk assessment (e.g., SA&A) been conducted on the system to ensure that appropriate security controls have been identified and implemented to protect against known risks to the confidentiality, integrity and availability of the PII? No

28. Describe the monitoring/evaluating activities undertaken on a regular basis to ensure that controls continue to work properly in safeguarding the PII.

5081 access is monitored and has to be revalidated yearly for continued access.

29. Is testing performed, in accordance with Internal Revenue Manual (IRM) 10.8.8 – IT Security, Live Data Protection Policy? Not Applicable

29a. Has approval been received from the Office of Privacy Compliance to use Live Data in testing (if appropriate)?

29b. If you have received permission from the Office of Privacy Compliance to use Live Data, when was the approval granted?

H. PRIVACY ACT & SYSTEM OF RECORDS

Under the statute, any employee who knowingly and willfully maintains a system of records without meeting the Privacy Act notice requirements is guilty of a misdemeanor and may be fined up to \$5000.

Authority: OMB M 03–22 & Privacy Act, 5 U.S.C. 552a (e) (4) & PVR #13–Transparency

30. Are 10 or more records containing PII maintained/stored/transmitted through this system? Yes

31. Are records on the system retrieved by any identifier for an individual? (Examples of identifiers include but are not limited to Name, SSN, Photograph, IP Address) Yes

31a. If YES, the System of Records Notice(s) (SORN) published in the Federal Register adequately describes the records as required by the Privacy Act? Enter the SORN number and the complete name of the SORN.

SORNS Number

SORNS Name

Treas/IRS 00.001	Correspondence Files and Correspondence Control Fi
Treas/IRS 34.037	Audit Trail and Security Records System
Treas/IRS 24.030	Individual master file cade
Treas/IRS 26.046	Business Master File
Treas/IRS 26.019	Taxpayer Delinquent Accounts Files
Treas/IRS 42.001	Exam Administrative File

Comments

I. ANALYSIS

Authority: OMB M 03–22 & PVR #21–Privacy Risk Management

32. What choices were made or actions taken regarding this IT system or collection of information as a result of preparing the PIA?

Resulted in the removal of PII from the system (e.g., SSN use reduced/eliminated)	<u>No</u>
Provided viable alternatives to the use of PII within the system	<u>No</u>
New privacy measures have been considered/implemented	<u>No</u>
Other:	<u>No</u>

32a. If Yes to any of the above, please describe:

NA

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