

Date of Approval: 12/16/2024
Questionnaire Number: 1790

Basic Information/Executive Summary

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

Individual Master File Document Specific

Acronym:

IDOCSPEC

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 general business purpose is to process Individual Income Tax forms (Form 1040 and associated forms), estimated tax payments, and Individual Masterfile/Business Masterfile revenue receipts that are filed electronically or via paper forms. Computations and validation/consistency checks are performed to ensure that the submitted tax form information is correct. IDOCSPEC programs do not store, alter or update data. IDOCSPEC processes over 60 forms and schedules related to this application.

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).

PII is collected via Form 1040 tax returns, remittances, information returns, adjustments, accompanying schedules and payment vouchers to process Individual Income Tax returns. SSNs are used during IDOCSPEC validation processing to retrieve entity validation data from the National Account Profile and the Affordable Care Act Verification System, and to validate taxpayer claims for certain statutory and refundable tax credits per legislative requirements. Also, return data can be retrieved by the computing center personnel on an "as needed" basis by use of file searches and document retrieval actions. The file searches are based upon whatever taxpayer identifying information is available at the time of research (e.g., SSN, name control, Document Locator Number, etc.). SBU/PII data is limited to only data required to process taxpayer transactions.

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

Address

Document Locator Number (DLN)

Driver's License Number

Employer Identification Number

Federal Tax Information (FTI)

Financial Account Number

Individual Taxpayer Identification Number (ITIN)

Language

Name

Social Security Number (including masked or last four digits)

Tax ID Number

Telephone Numbers

Vehicle Identification Number (VIN)

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

SSN for personnel administration IRS employees - 5 USC and Executive Order 9397

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

1.35 Is there a data dictionary for this system?

Yes

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

Tax returns, remittances, information returns, and adjustment and update transactions all of which contain SSNs, names, addresses, dates of birth as well as tax information are controlled, validated, corrected, and passed on for posting to the Master File.

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?

6502

1.7 What are the changes and why?

There are no major changes, this is an expiring PCLIA and an updated version.

1.8 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.

210601

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 four digit PCLIA Number of the parent system?

1443

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.

Submission Processing Domain Governance Board (SP 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?

No

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

Individuals are not able to access or correct their information.

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

4.5 Identify the roles and their access level to the PII data. For contractors, indicate whether their background investigation is complete or not.

The following people have access to the system with the specified rights:
Procedures for accessing live data are enforced. A form 6759 (Request for Taxpayer Data) is submitted, through proper channels, for approval of releasing the data needed to test or research a problem being reported. For what purpose?
Contractors do not have access to any data within GMF. IRS Computer System Analyst (CSA) can read, write and execute the data available within the application. Access is determined by functional business needs. GMF is a framework that receives data via batch mode and outputs files to the various systems that use it.

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".

Under 50,000

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 1,000,000

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

Employees with positions who work individual tax returns as part of their job description and who have been trained and cleared to do so Procedures for accessing live data are enforced. A form 6759 (Request for Taxpayer Data) is submitted, through proper channels, for approval of releasing the data needed to test or research a problem being reported. Contractors do not have access to any data within GMF. IRS Computer System Analyst (CSA), can read, write and execute the data available within the application. IRS Database Administrators (DBA), can read, write and execute the data available within the application. Access is determined by functional business needs. GMF is a framework that receives data via batch mode and outputs files to the various systems that use it. These individual systems, e.g., Error Resolution System (ERS), determine their own access criterion which is approved according to their criteria. Approval for these systems is granted via the Online 5081 application, which requires managerial approval. Other systems do have access to GMF data. All systems provide a DLN. The following send or receive block information to or from GMF. No other agencies provide, receive, or share data in any form with GMF.

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

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

Generalized Unpostable Framework (GUF)

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

National Accounts Profile (NAP)

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Error Resolution System (ERS)

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Generalized Mainline Framework (GMF)

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master
File

Describe the IRS use and relevance of this SORN.

IRS verification of taxpayer data stored and protected by the IRS.

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

a system of records under the control of the IRS which is retrieved using the individual's name.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

GRS 5.2, Job No. DAA-GRS-2017-0003-0002)

What is the GRS/RCS Item Number?

020

What type of Records is this for?

Electronic

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

IDOCSPEC is non-recordkeeping - therefore, no scheduling actions are required. IDOCSPEC is a batch processing application that checks for the accuracy of tax return information. IDOCSPEC does not generate, alter or store any records. IMF recordkeeping data is appropriately scheduled under Records Control Schedule 29 for Tax Administration - Wage and Investment Records (Service Center Operations), Item 203.

What is the disposition schedule?

(A) Inputs: The inputs to the Daily TIF (DLY) and Weekly TIF (WTU) are received electronically from multiple systems including, but not limited to: Business Master File Outputs (BMF OUTPUTS); Employee Plans Master File Outputs (EPMF OUTPUTS); End of Day Processing (EOD); Error Resolution System (ERS); Federal Tax Deposit Mainline (FTD); Generalized Mainline Framework (GMF); Generalized Unpostable Framework (GUF); Individual Master File Outputs (IMF OUTPUTS), and; Remittance Processing System Pre-Mainline (RPS-PM). (GRS 5.2, Item 020; Job No. DAA-GRS-2017-0003-0002). Delete/Destroy any cached input files, data, and reports immediately following validation in the Daily TIF Update (DLY) and Weekly TIF Update (WTU). (B) System Data: Daily TIF Update (DLY) and Weekly TIF Update (WTU) analyze and reformat transactions from the service center pipeline and master files to update the Taxpayer Information File Data Store (TIFDS) with the latest transactions

and status information, both incrementally on a scheduled daily and weekly basis. (Job No. N1-58-09-37) Cut off at end of the processing year. Delete/Destroy 10 years after cutoff. (C) Outputs: The Daily TIF Update (DLY) and Weekly TIF Update (WTU) transmit updated information to multiple systems, including, but not limited to: Audit Information Management System (AIMS); Case Control Activity System (CCA); Daily Transaction Register (DTR); End of Day Processing (EOD); Integrated Collection System (ICS), and Taxpayer Information File Data Store (TIFDS). (GRS 5.2, Item 020; Job No. DAA-GRS-2017-0003-0002). Delete/Destroy any cached input files, data, and reports immediately following validation of inputs to target systems. Note: The data warehouses and repositories of target systems house the official records for all outputs from the Daily TIF Update (DLY) and Weekly TIF Update (WTU). These are appropriately scheduled under approvals cited in the various IRS Records Control Schedules.

Data Locations

What type of site is this?

OneDrive

What is the name of the OneDrive?

Generalized Mainline Framework

What is the sensitivity of the OneDrive?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

http://ea.web.irs.gov/aba/index.html?mainpageurl=SA/ea-panel1_main-application_7405.htm

Please provide a brief description of the OneDrive.

Generalized Mainline Framework (GMF) validates and perfects data from a variety of input sources - tax returns, remittances, information returns, and adjustments - and update transactions are controlled, validated, and corrected.

What are the incoming connections to this OneDrive?

527 PAC - (Political Action Committee) TO GMF Automated 6020b A6020 (A6020B) A6020(b) to GMF GMF Account Transfers In (ACTRFRS) ACA Verification Service (AVS) Batch Block Tracking System (BBTS) Data Edit Validation (DED) Data Master-1 Data Store (DM-1 DS) End of Day Processing (EOD) Error Resolution System (ERS) Generalized Unpostable Framework (GUF) Individual Master File Document Specific (IDOCSPEC) IDRS-EOD to GMF (CADE 2 I/F ID 317.00)-End of Day Processing (EOD) IDRS-EOD to GMF (CADE 2 I/F ID

317.01)-End of Day Processing (EOD) Information Returns
Processing Paper Documents (IRPPD) Integrated Submission and
Remittance Processing (ISRP) Modernized eFile (MeF) National
Account Profile (NAP) Name Search Facility (NSF) Remittance
Processing System (RPS) Service Center Control File (SCCF)
Department of Treasury (TREASURY)

What are the outgoing connections from this OneDrive?

GMF TO Project PCA Production Control Accounting (PCAPERS) GMF
TO 1099 Extract (1099EXTRACT) GMF TO Automated Non Master File
(ANMF) GMF TO Adoption Taxpayer Identification Number (ATIN)
GMF TO ACA Verification Service (AVS) GMF TO Business Master File
Document Specific (BDOCSPEC) GMF TO Business Master File (BMF),
Discriminant Function Requests (BMFDIFREQ), Pre Posting
(BMFPREPOSTING) GMF TO Combined Annual Wage Reporting
Mainframe (CAWRM) GMF TO Dependent Data Base (DEPDB) GMF
TO Daily TIF Update (DLY) GMF TO Employee Plans Master File Pre
Posting (EPMFPREPOSTING) GMF TO Error Resolution System (ERS)
GMF TO Fact of Filing (FOF) GMF TO Gas Oil Update and Report
System (GAS01) GMF TO Individual Master File Document Specific
(IDOCSPEC) GMF TO Individual Master File (IMF) GMF TO IMF DIF
Ordering System (IMFDIFORDER) GMF TO Individual Master File Pre
Posting (IMFPREPOSTING) GMF TO Information Returns Processing
Underreporter Backup Withholding (IRPUBWH) GMF TO Information
Returns Processing Input Processing (IRPIP) GMF TO Modernized Tax
Returns Database (MTRDB) GMF TO National Account Profile (NAP)
GMF TO NOTICE REVIEW PROCESSING SYSTEM BMF IAP
(NRPSBMFIAP) GMF TO NOTICE REVIEW PROCESSING SYSTEM
IMF IAP (NRPSIMFIAP) GMF TO Notice Review Processing System
Unisys (NRPSUNISYS) GMF TO Name Search Facility (NSF) GMF TO
Workload Scheduling (PCB) GMF TO Production Control and
Performance Reporting (PCC) GMF TO Production Control Data Analysis
(PCD) GMF TO Questionable Refund Program (QRP) GMF TO Reports
(REPORTS) GMF TO Return Review Program (RRP) GMF TO Return
Review Program Legacy Components (RRPLC) GMF TO Service Center
Control File (SCCF) GMF TO Treasury Inspector General for Tax
Administration (TIGTA) GMF TO Tax Return Data Base (TRDB)