

Date of Approval: October 31, 2016

PIA ID Number: 1925

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## A. SYSTEM DESCRIPTION

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1. Enter the full name and acronym for the system, project, application and/or database. Mail Labels and Media Support, MLMS

2. Is this a new system? No

2a. If **no**, is there a PIA for this system? Yes

If **yes**, enter the full name, acronym, PIA ID Number and milestone of the most recent PIA.

Mail Labels and Media Support, MLMS, 593, 4B

Next, enter the **date** of the most recent PIA. 2/5/2014

Indicate which of the following changes occurred to require this update (check all that apply).

<u>No</u>	<b>Addition of PII</b>
<u>No</u>	<b>Conversions</b>
<u>No</u>	<b>Anonymous to Non-Anonymous</b>
<u>No</u>	<b>Significant System Management Changes</b>
<u>No</u>	<b>Significant Merging with Another System</b>
<u>No</u>	<b>New Access by IRS employees or Members of the Public</b>
<u>No</u>	<b>Addition of Commercial Data / Sources</b>
<u>No</u>	<b>New Interagency Use</b>
<u>No</u>	<b>Internal Flow or Collection</b>

Were there other system changes not listed above? Yes

If yes, explain what changes were made. PIA will be expiring in early 2017, no other system changes.

3. Check the current ELC (Enterprise Life Cycle) Milestones (select all that apply)

<u>No</u>	<b>Vision &amp; Strategy/Milestone 0</b>
<u>No</u>	<b>Project Initiation/Milestone 1</b>
<u>No</u>	<b>Domain Architecture/Milestone 2</b>
<u>No</u>	<b>Preliminary Design/Milestone 3</b>
<u>No</u>	<b>Detailed Design/Milestone 4A</b>
<u>Yes</u>	<b>System Development/Milestone 4B</b>
<u>No</u>	<b>System Deployment/Milestone 5</b>
<u>No</u>	<b>Operations &amp; Maintenance (i.e., system is currently operational)</b>

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

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### A.1 General Business Purpose

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5. What is the general business purpose of this system? Provide a clear, concise description of the system, application or database, the reason for the system, and the benefits to the IRS to use the information, and how the information will be used.

Mail labels and Media Support (MLMS) applies address cleansing software to domestic and international taxpayer addresses on the International Master File (IMF), Business Master File (BMF), and Employee Plans Master File (EPMF) Masterfile databases. Additional address cleansing is conducted by MLMS through creating/maintaining the Location Code File (LCF), Deleted Zip Code Transactions, and the Location Code Assignment process. MLMS extracts the name and addresses of taxpayers for the 1040ES and 1041ES tax package types. The taxpayer information for these mailings is extracted from the appropriate masterfile based on criteria provided by Wage and Investment for the package target group. MLMS extracts taxpayer information for the Shared Secrets database, then merges these records with data received from Modernized Tax Return Database (MTRDB). This merged taxpayer data file is then sent to National Account Profile (NAP) to be used when taxpayers enter their Personal Identification Number (PIN) during the efile process. MLMS also provides Questionable Refund Program (QRP) support to the Criminal Investigation Division (CID) by creating a weekly listing of taxpayers who have filed for multiple tax refunds during the same year and have met predetermined criteria established by address and amount of refund.

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**B. PII DETAIL**

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6. Does the system use, collect, receive, display, store, maintain, or disseminate IR Code 6103 taxpayer information; or any type of Sensitive but Unclassified (SBU) or Personally Identifiable Information (PII)? Yes

6a. If **yes**, does the system use, collect, receive, display, store, maintain, or disseminate Social Security Numbers (SSN s) or tax identification numbers (i.e. last 4 digits, etc.)? Yes

If **yes**, check who the SSN (or tax identification number) is collected on.

Yes    On Primary            Yes    On Spouse            No    On Dependent

If **yes**, check all types SSN s (or tax identification numbers) that apply to this system:

<b>Yes</b>	<b>Social Security Number (SSN)</b>
<b>Yes</b>	<b>Employer Identification Number (EIN)</b>
<b>No</b>	<b>Individual Taxpayer Identification Number (ITIN)</b>
<b>No</b>	<b>Taxpayer Identification Number for Pending U.S. Adoptions (ATIN)</b>
<b>No</b>	<b>Practitioner Tax Identification Number (PTIN)</b>

Describe the planned mitigation strategy and forecasted implementation date to mitigate or eliminate the use of SSN s (or tax identification numbers).

The system requires the use the full SSN and a mitigation strategy is currently not required. No alternative exists currently for the application. This program is aware of and part of the IRS-wide SSN elimination and reduction program.

6b. Does this system contain other (non-SSN) PII that it uses, collects, receives, displays, stores, maintains, or disseminates? (i.e. Names, addresses, etc.) Yes

If **yes**, specify the information.

<u>Selected</u>	<u>PII Element</u>	<u>On Primary</u>	<u>On Spouse</u>	<u>On Dependent</u>
<b>Yes</b>	<b>Name</b>	<b>Yes</b>	<b>Yes</b>	<b>No</b>
<b>Yes</b>	<b>Mailing address</b>	<b>No</b>	<b>No</b>	<b>No</b>

No	Phone Numbers	No	No	No
No	E-mail Address	No	No	No
No	Date of Birth	No	No	No
No	Place of Birth	No	No	No
No	SEID	No	No	No
No	Mother's Maiden Name	No	No	No
No	Protection Personal Identification Numbers (IP PIN)	No	No	No
No	Internet Protocol Address (IP Address)	No	No	No
No	Criminal History	No	No	No
No	Medical Information	No	No	No
No	Certificate or License Numbers	No	No	No
No	Vehicle Identifiers	No	No	No
No	Passport Number	No	No	No
No	Alien (A-) Number	No	No	No
No	Financial Account Numbers	No	No	No
No	Photographic Identifiers	No	No	No
No	Biometric Identifiers	No	No	No
No	Employment (HR) Information	No	No	No
No	Tax Account Information	No	No	No

6c. Does this system contain SBU information that is not PII, it uses, collects, receives, displays, stores, maintains, or disseminates? No .

6d. Are there other types of SBU/PII used in the system? No

If **yes**, describe the other types of SBU/PII that are applicable to this system.

6e. Cite the authority for collecting SBU/PII (including SSN if relevant)

No	PII for federal tax administration is generally Internal Revenue Code Sections 6001, 6011, 6012e(a)
Yes	SSN for tax returns and return information is Internal Revenue Code Section 6109
No	SSN for personnel administration (IRS Employees) is 5 USC & Executive Order 9397
No	PII for personnel administration is 5 USC
No	PII about individuals for Bank Secrecy Act compliance 31 USC
No	Information by CI for certain money laundering cases may be 18 USC

6f. Has the authority been verified with the system owner? Yes

## **B.1 BUSINESS NEEDS AND ACCURACY**

7. Explain the detailed business needs and uses for the SBU/PII, and how the SBU/PII is limited only to that which is relevant and necessary to meet the mission requirements of the system. If SSNs (or tax identification numbers) are used, explicitly explain why use of SSNs meets this criteria. Be specific.

The SSN's/EIN's are used to determine which taxpayers are to receive the 1040ES or the 1041ES tax packages. The names and addresses of the selected taxpayers are sent to an approved printing contractor.

8. How is the SBU/PII verified for accuracy, timeliness, and completeness? Explain how steps are taken to ensure that all information maintained by the system that is used by IRS to make any adverse determination about an individual's rights, benefits, and/or privileges is maintained with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination

All data extracted is tested and quality reviewed to determine if the programs have selected the correct taxpayers. MLMS uses the ELC methodology to move through the project lifecycle.

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### **C. PRIVACY ACT AND SYSTEM OF RECORDS**

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9. Are 10 or more records containing SBU/PII maintained, stored, and/or transmitted by or through this system? Yes

9a. If **yes**, are records in the system retrieved by any personal identifier (e.g., name, SSN, Photograph, IP Address) for an individual? Yes

If **yes**, is there a System of Records Notice(s) or SORNs that addresses the PII records in this system? Yes

If **yes**, enter the SORN number(s) and the complete the name of the SORN.

<u>SORNS Number</u>	<u>SORNS Name</u>
<b>Treasury/IRS 24.030</b>	<b>Customer Account Data Engine Individual Master File</b>
<b>Treasury/IRS 24.046</b>	<b>Customer Account Data Engine Business Master File</b>
<b>Treasury/IRS 34.037</b>	<b>IRS Audit Trail and Security Records System</b>

If **yes**, does the System of Records Notice(s) (SORN) published in the Federal Register adequately describe the records as required by the Privacy Act? Yes

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### **D. RESPONSIBLE PARTIES**

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10. Identify the individuals for the following system roles. ## Official Use Only

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### **E. INCOMING PII INTERFACES**

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11. Does the system receive SBU/PII from other system or agencies? No

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### **F. PII SENT TO EXTERNAL ORGANIZATIONS**

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12. Does this system disseminate SBU/PII? Yes

12a. Does this system disseminate SBU/PII to other IRS Systems? No

12b . Does this system disseminate SBU/PII to other Federal agencies? No

12c. Does this system disseminate SBU/PII to State and local agencies? No

12d. Does this system disseminate SBU/PII to IRS or Treasury contractors? Yes

If **yes**, identify the contractor source(s) that receive SBU/PII from this system, and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

<u>Organization Name</u>	<u>Transmission method</u>	<u>ISA/MOU</u>
<b>Printing Contractors (Changes)</b>	<b>Encrypted CD's</b>	<b>Yes</b>

Identify the authority and for what purpose? The printing contractor are handled by Media and Publishing.

Did the contract include the appropriate 6103(n) clauses for tax return and return information, and Federal Acquisition Regulations privacy clauses?

Yes

12e. Does this system disseminate SBU/PII to other Sources? No

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## **G. PRIVACY SENSITIVE TECHNOLOGY**

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13. Does this system use social media channels? No

14. Does this system use privacy-sensitive technologies such as mobile, cloud, global position system (GPS), biometrics, RFID, etc.? No

15. Does the system use cloud computing? No

16. Does this system/application interact with the public? No

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## **H. INDIVIDUAL NOTICE AND CONSENT**

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17. Was/is notice provided to the individual prior to collection of information? No

17b. If **no**, why not? If information is not collected directly from an individual, please discuss the factors considered in deciding to collect information from third party sources.

Taxpayers that are to receive either the 1040ES or 1041ES tax packages and selected by package criteria, determined by Wage and Investment.

18. Do individuals have the opportunity to decline from providing information and/or from consenting to particular uses of the information? No

18b. If no, why not? Taxpayers that are to receive either the 1040ES or 1041ES tax packages and selected by package criteria, determined by Wage and Investment. An individual cannot decline providing the information because the information is required to carry out the Internal Revenue laws of the United States

19. How does the system or business process ensure due process regarding information access, correction and redress?

Data is verified to be meet the business requirements before data is forwarded to the printing contractor.

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**I. INFORMATION PROTECTION**

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20. Identify the owner and operator of the system (could be IRS owned and Operated; IRS owned, contractor operated; contractor owned and operated)

IRS Owned and Operated

21. The following people have access to the system with the specified rights:

IRS Employees? Yes

<u>IRS Employees?</u>	Yes/No	Access Level(Read Only/Read Write/Administrator)
<b>Users</b>	<b>No</b>	
<b>Managers</b>	<b>No</b>	
<b>Sys. Administrators</b>	<b>No</b>	
<b>Developers</b>	<b>Yes</b>	<b>Read-Only</b>

Contractor Employees? No

21a. How is access to SBU/PII determined and by whom? Only MLMS developers have mainframe access to the data. The data that is shipped to the printing contractor is password protected. Publishing Services will provide that password to the contractor.

21b. If computer matching occurs, can the business owner certify that it meets requirements of IRM 11.3.39 Disclosure of Official Information, Computer Matching & Privacy Protection Act ?  
Not Applicable

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**I.1 RECORDS RETENTION SCHEDULE**

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22. 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? Yes

22a. 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.

MLMS is non-record keeping. It is not the official repository for any data or documents, and does not require a NARA-approved records control schedule to affect data disposition. MLMS is a batch processing application of taxpayer identification information (names/addresses). It does not generate, alter, or store any unique records. Data retention requirements for data enlisted by MLMS are defined in accordance with the recordkeeping systems.

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**I.2 SA&A OR ECM-R**

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23. Has the system been through SA&A (Security Assessment and Authorization) or ECM-R (Enterprise Continuous Monitoring Reauthorization)? No

23c. If **no**, is the system secured in accordance with all applicable federal, treasury, and IRS security policy, procedures, and requirements? Yes

23.1 Describe in detail the system s audit trail. Audit Trail Information: All online data access is through batch processing. Data needed for taxpayer mailings are viewed by authorized IRS employees or printing contractors via a copy of the MLMS data loaded onto encrypted CD's. The CD's are password protected and the online files are protected by the Mainframe authentication and authorization process, including the use of audit trail information.

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## J. PRIVACY TESTING

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24. Does the system require a System Test Plan? Yes

24b. If **yes**, Is the test plan in process or completed: Completed

24.3 If **completed/ or in process**, describe what testing and validation activities have been conducted or are in progress to verify and validate that the applicable Privacy Requirements (listed in header) have been met?

All MLMS programs are unit tested and ISAT. The testing checklist and peer reviews would indicate issues.

24b.1. If **completed**, where are the test results stored (or documentation that validation has occurred confirming that requirements have been met)? DocIT

24b.2. If **completed**, were all the Privacy Requirements successfully tested? Yes

24.2 If **completed**, are there any residual system privacy, civil liberties, and/or security risks identified that need to be resolved? No

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## K. SBU Data Use

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25. Does this system use, or plan to use SBU Data in Testing? Yes

25a. If **yes**, was permission granted per the requirements of Form 14664, SBU Data Use Questionnaire or Form 14665, SBU Data Use Request? Yes

If **yes**, provide the date the permission was granted. 2/6/2015

25b. If **yes**, was testing performed in conformance with IRM 10.8.8 Information Technology (IT) Security, Sensitive But Unclassified (SBU) Data Policy? Yes

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## L. NUMBER AND CATEGORY OF PII RECORDS

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26. Identify the number of individual records in the system for each category:

26a. IRS Employees: Not Applicable

26b. Contractors: Not Applicable

26c. Members of the Public: Not Applicable

26d. Other: No

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**M. CIVIL LIBERTIES**

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27. Does the system maintain any information describing how any individual exercises their rights guaranteed by the First Amendment? No

28. Is the system information used to conduct data-mining as defined in the *Implementing the 9/11 Commission Recommendations Act of 2007, Public Law 110-53, Section 804*? No

29. Will this system have the capability to identify, locate, and monitor individuals or groups of people? No

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**N. ACCOUNTING OF DISCLOSURES**

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30. Does the system include or require disclosure of tax or employee information to anyone other than IRS employees in the performance of their duties, or to the person to whom the information pertains or to a 3rd party pursuant to a Power of Attorney, tax or Privacy Act consent? No

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**End of Report**

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