Date of Approval: 03/21/2024
Questionnaire Number: 1133

Basic Information/Executive Summary

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

Notice Review Processing System

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.

• Analyzes master file notice records to identify potential errors or necessary last-minute updates, with the goal of increasing the accuracy of correspondence.
• Examines information on Individual Master File (IMF) and Business Master File (BMF) settlement, adjustment, and levy notices, along with corresponding information on tax modules, pending transactions, electronic data from tax returns, calculations based on feedback of error rates from previous cycles, etc.
• Flags a notice record for review and creates edited information which is passed to the On-Line Notice Review (OLNR), enabling the tax examiner to determine if the notice should be mailed as is, modified and mailed, or destroyed. Also extracts the information necessary to retype notice information, and when needed, perfects the notice record based on the tax examiners' intent mailed to taxpayers.
• Electronically transfers disposition and notice corrected data to the campus servers where OLNR provides a user-friendly interface which allows tax examiners to make necessary modifications. At the end of the weekly review cycle, the mainframe retrieves the perfected notice data, modifies the notice

records as directed, and passes the data to the programs responsible for editing the taxpayer notices.

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).

NRPS analyzes potential error patterns and pending transactions to determine if a notice record should be reviewed by a Notice Review Tax Examiner (TE) for possible correction or deletion. NRPS passes selected notice data to Online Notice Review (OLNR) System, which is the user interface that TEs use to correct notice data. In addition, NRPS provides a formatted report with supporting data (such as tax modules, pending transactions, etc.) on ControlD/Web, that TEs analyze to determine any actions they need to take. Various NRPS selection criteria analyze not only the notice records, but also tax modules, return transactions, pending transactions, and other data. NRPS uses SSNs to match the data. TEs use the SSNs on the Integrated Data Retrieval System (IDRS) to do further research or adjust accounts. Sometimes taxpayers' names and addresses need to be updated on the notice record and/or IDRS. Agency efforts to create a viable sanitized data repository have failed due to the extreme complexity of data. NRPS programs take in a huge variety of data in many different formats and if programmers do not have access to live data for development and testing, they will fail to deliver correct program updates. Further, any debugging of program problems in production will be impossible without access to live data.

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

Address
Centralized Authorization File (CAF)
Employer Identification Number
Federal Tax Information (FTI)
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).

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)?

It is a Tier 1 production system that generates taxpayer notices and passes them to Taxpayer Examiners (TEs) and Online Notice Review System (OLNR) for review.

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.

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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?

PIA ID Number: 6075

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.

ABA ID 210814

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".

Not Applicable

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

CP Domain Governance Board (CPD 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.

Not Applicable

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.

Users - Read and Write, System Administrators - Administrator, Developers - Read and Write, Contractors - Read and Write (Background Investigation Level - Moderate)

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".

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.

4.54 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?

The developer must submit a BEARS request to receive access to NRPS. BEARS gives access to NRPS mainframe. Form 104 gives access for Resource Access Control Facility access that must be approved by the manager based upon a user's position and need-to-know.

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?

Not Applicable

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?

Yes

5.3 Please upload the approved SBU Data Use Questionnaire or Request. If the request has been recertified, please upload the approved recertification form. Select Yes to indicate that you will upload the SBU Data Use form.

Yes

Interfaces

Interface Type
IRS Systems, file, or database
Agency Name
Unysis NRPS
Incoming/Outgoing
Outgoing (Sending)
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type
IRS Systems, file, or database
Agency Name
Individual Master File
Incoming/Outgoing
Both
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type
IRS Systems, file, or database
Agency Name
Sysplex
Incoming/Outgoing
Both
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type
IRS Systems, file, or database
Agency Name
Business Master File
Incoming/Outgoing
Both
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type
IRS Systems, file, or database
Agency Name
IBM Mainframe IAP System

Incoming/Outgoing
Both
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type
IRS Systems, file, or database
Agency Name
Online Notice Review (OLNR) System
Incoming/Outgoing
Both
Transfer Method
Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name
IRS 24.046 - Customer Account Data Engine Business Master File
Describe the IRS use and relevance of this SORN.
The NRPS programs pass BMF data files to OLNR, so the Tax Examiners could correct and update the notice accuracy. Once the system/cycle of data is closed out, OLNR produces output files that are sent back to NRPS for further backend processing. After notice information is verified/corrected/deleted as appropriate, we forward that information to the BMFIMFNOT section's programs that produce the actual notices that are mailed to taxpayers.

SORN Number & Name
FS .001 - Administrative Records

SORN Number & Name
IRS 24.030 - Customer Account Data Engine Individual Master File
Describe the IRS use and relevance of this SORN.
The NRPS programs pass IMF data files to OLNR, so the Tax Examiners could correct and update the notice accuracy. Once the system/cycle of data is closed out, OLNR produces output files that are sent back to NRPS for further backend processing. After notice information is verified/corrected/deleted as appropriate, we forward that information to the BMFIMFNOT section's programs that produce the actual notices that are mailed to taxpayers.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

RCS Chapter 29 for Tax Administration - Wage and Investment Records

What is the GRS/RCS Item Number?

RCS #12990

What type of Records is this for?

Electronic

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

Records Control Schedule (RCS) Document 12990 under RCS Chapter 29 for Tax Administration - Wage and Investment Records, item 71.

What is the disposition schedule?

(A) Inputs: Inputs to the Notice Review Processing System (NRPS) are extracted from the IBM Mainframe and Online Notice Review System (OLNR): AUTHORIZED DISPOSITION - Delete/Destroy cache file after successful entry and verification into the system. (B) System Data: The Notice Review Processing System (NRPS) maintains both IMF and BMF notices that have weekly processing dates posted on each notice contained within the system: AUTHORIZED DISPOSITION - Delete/Destroy 2 weeks after printing Notice or when no longer needed for operational purposes, whichever is later. (C) Outputs: Outputs of the Notice Review Processing System (NRPS) consist of transmissions to the Online Notice Review System (OLNR): AUTHORIZED DISPOSITION - Delete/Destroy batch files after posting to the OLNR.

Data Locations

What type of site is this?

System

What is the name of the System?

IBM mainframe IAP NRPS

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

What is the URL of the item, if applicable?

IRS does not use a URL to access this data.

Please provide a brief description of the System.

At end of each week, NRP98 updates the Local Control File on the Unysis System. Flat files are created by Unysis NRPS and are transferred to the IBM mainframe IAP System. The IBM System processes flat files and they are transferred back to the Unysis System where NRP99 updates the Unysis database.

What are the incoming connections to this System?

NRP98 on Unysis System updates Local Control File. Flat files are created.

What are the outgoing connections from this System?

Flat files from Unysis are transferred to the IBM IAP System and processed. Flat files are transferred back to the Unysis System where NRP99 updates database.

What type of site is this?

System

What is the name of the System?

Unysis NRPS

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

What is the URL of the item, if applicable?

IRS does not use a URL to access this data.

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