
A. SYSTEM DESCRIPTION

1. Enter the full name and acronym for the system, project, application and/or database. Remittance Processing System - Pre-Mainline , RPS-PM

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.

Remittance Processing System - Pre-Mainline

Next, enter the **date** of the most recent PIA. 10/31/2012

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

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

Were there other system changes not listed above? No

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

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

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

A.1 General Business Purpose

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.

RPS-PM processes daily taxpayer remittances (tax payments) and creates transactions used to credit taxpayer accounts for payments received. RPS - PM perfects payment and tax information from taxpayers and third parties that have been entered into the system and passes the perfected data to the corporate data stores. RPS - PM creates input to notice review processing and creates journals, ledgers, and reports for accounting. RPS - PM processes remittance received from individuals and business taxpayers on two mediums: paper and Lockbox bank deposits. RPS - PM processes all remittances to the IRS campuses that are on paper, which are transcribed using Integrated Submission and Remittance Processing (ISRP) hardware and software, except non-master file payments. RPS - PM also receives remittances that were deposited at a partnering Lockbox Bank, electronically captured using bank resources, and electronically sent to the appropriate Enterprise Computing Center. Most IRS service campuses are partnered with one Lockbox Bank, which provides safe and secure U.S. treasury holdings. Some campuses are partnered with two or more Lockbox Banks for different transaction types. By contractual agreement, each bank maintains its own Lockbox/IRS interface programming, changing the code annually or as needed, as coordinated with the IRS using the Lockbox Functional Specification Package (FSP) documentation that is developed, delivered, and maintained by the IRS RPS - PM /Lockbox Application Team. Tax payments are submitted to the Lockbox Banks on various forms including the following forms: 940V 941V, 943V, 1040V, 1040-ES, 1041-ES, 2290V, 2688, 4868, 8855V, CP521 Notice, and User Fee payment vouchers. The Lockbox Bank files containing remittances are electronically transferred to the ECC-MEM and ECC-MTB mainframes by service center designation. The transaction records are received via Enterprise Files Transfer Utility (EFTU) from the Lockbox Bank to the format for GMF Mainline processing and post mainline processing. Post mainline processing includes Notice processing and Master file posting. RPS - PM executes on the GSS-23 Unisys mainframes located at ECC-MEM and ECC-MTB for all IRS campuses daily and weekly. There typically is a one-day lag in daily processing, as the result of collecting a full days' activity at the Lockbox Banks, and then electronically sending the data to the IRS for next day processing. All IRS RPS - PM application programs are on the Unisys mainframe platform. Input data is received via EFTU from ISRP and Lockbox Bank. Data from RPS - PM is transferred to several applications for output, including: the Generalized Mainline Framework (GMF), the Taxpayer Information File (TIF) Daily, the National Account Profile (NAP), and the Notice Review Processing System (NRPS) for output. RPS - PM application has no end users and resides on the Unisys Mainframe, which is managed under the GSS-23 System.

B. PII DETAIL

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 variations of SSN s (i.e. last 4 digits, etc.)? Yes

If **yes**, check who the SSN (or SSN variation) is collected on.

Yes On Primary No On Spouse No On Dependent

If **yes**, check all types SSN s (or variations of SSN s) that apply to this system:

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

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

There is no planned mitigation strategy to mitigate or eliminate the use of the SSN on the system. There is no alternative to the use of the SSN. The SSN is the significant part of the data being processed.

6b. Does this system contain other (non-SSN) PII that it uses, collects, receives, displays, stores, maintains, or disseminates? (i.e. Names, addresses, etc.) No

6c. Does this system contain SBU information that it uses, collects, receives, displays, stores, maintains, or disseminates? Yes

If **yes**, select the types of SBU

<u>Selected</u>	<u>SBU Name</u>	<u>SBU Description</u>
Yes	Agency Sensitive Information	Information which if improperly used or disclosed could adversely affect the ability of the agency to accomplish its mission
No	Procurement sensitive data	Contract proposals, bids, etc.
No	Official Use Only (OUO) or Limited Official Use (LOU)	Documents that have been marked OUO or LOU
No	Proprietary data	Business information that does not belong to the IRS
No	Protected Information	Information which if modified, destroyed or disclosed in an unauthorized manner could cause: loss of life, loss of property or funds by unlawful means, violation of personal privacy or civil rights, gaining of an unfair procurement advantage by contractors bidding on government contracts, or disclosure of proprietary information entrusted to the Government
No	Physical Security Information	Security information containing details of serious weaknesses and vulnerabilities associated with specific systems and facilities
No	Criminal Investigation Information	Information concerning IRS criminal investigations or the agents conducting the investigations.

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

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

<u>Yes</u>	PII for federal tax administration is generally Internal Revenue Code Sections 6001, 6011, 6012e(a)
<u>Yes</u>	SSN for tax returns and return information is Internal Revenue Code Section 6109
<u>Yes</u>	SSN for personnel administration (IRS Employees) is 5 USC & Executive Order 9397
<u>No</u>	PII for personnel administration is 5 USC
<u>No</u>	PII about individuals for Bank Secrecy Act compliance 31 USC
<u>No</u>	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 variations) are used, explicitly explain why use of SSNs meets this criteria. Be specific.

PII is needed for processing taxpayers' remittances to be posted to their accounts for payments received.

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

RPS-PM payments are posted to taxpayer accounts via a matching process; this determines the accuracy of the taxpayer identification information. Mismatched payments are evaluated to determine the reason and TIN/EIN and Name Control field changes are made when required, so the payment subsequently matches. Standard checks for numeric data and dates are used in the RPS-PM batch programs. RPS-PM payment records contain a payment received date that is posted to taxpayer accounts with the payment amount. Completeness is verified downstream in the payment matching and posting process. Incomplete submissions will not post and will be identified on error reports.

C. PRIVACY ACT AND SYSTEM OF RECORDS

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.

SORNS Number

SORNS Name

Treasury/IRS 24.046 Customer Account Data Engine (CADE) Business Maste

Treas/IRS 24.030 IMF

Treas/IRS 34.037 Audit Trail and Security Records System

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

D. RESPONSIBLE PARTIES

10. Identify the individuals for the following system roles. N/A

E. INCOMING PII INTERFACES

11. Does the system receive SBU/PII from other system or agencies? Yes

11a. If **yes**, does the system receive SBU/PII from IRS files and databases? Yes

If **yes**, enter the files and databases.

<u>System Name</u>	<u>Current PIA?</u>	<u>PIA Approval Date</u>	<u>SA & A?</u>	<u>Authorization Date</u>
Integrated Submission and Remittance Processing	Yes	04/18/2014	Yes	08/06/2014

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

11c. Does the system receive SBU/PII from State or local agency (-ies)? No

11d. Does the system receive SBU/PII from other sources? No

11e. Does the system receive SBU/PII from **Taxpayer** forms? No.

11f. Does the system receive SBU/PII from **Employee** forms (such as the I-9)? No

F. PII SENT TO EXTERNAL ORGANIZATIONS

12. Does this system disseminate SBU/PII? No

G. PRIVACY SENSITIVE TECHNOLOGY

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

H. INDIVIDUAL NOTICE AND CONSENT

17. Was/is notice provided to the individual prior to collection of information? Yes

17a. If **yes**, how is notice provided? Was the individual notified about the authority to collect the information, whether such is mandatory or voluntary, the purpose for which the information will be used, with whom the information may be shared, and the effects, if any, if they decide not to provide any of the requested information?

The system will allow affective parties the opportunity to clarify or dispute negative information that could be used against them. Due process is provided pursuant to 5 USC.

18. Do individuals have the opportunity to decline from providing information and/or from consenting to particular uses of the information? Yes

18a. If **yes**, describe the mechanism by which individuals indicate their consent choice(s): The system uses data entered from tax returns filed by taxpayers. They are notified of such collection by the Privacy Act Notice in the tax return instructions.

19. How does the system or business process ensure due process regarding information access, correction and redress? The system uses data entered from tax returns filed by taxpayers. They are notified of such collection by the Privacy Act Notice in the tax return instructions.

I. INFORMATION PROTECTION

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)
Users	Yes	Read and Write
Managers	Yes	Read and Write
Sys. Administrators	Yes	Administrator
Developers	No	Read-Only

Contractor Employees? No

21a. How is access to SBU/PII determined and by whom? Employees request access to the application by submitting an OL5081 which must be approved by their manager.

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 ? Yes

I.1 RECORDS RETENTION SCHEDULE

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.

Remittance Processing System (RPS) RPS encodes, endorses, and prepares audit trails for checks received from taxpayers. The database provides documentation for preparation of the deposit of receipts, and generates payment posting information to

update IDRS. System disposition instructions were approved by the National Archives under Job No. N1-58-97-13, and are published in IRS IRM 1.15.35, item 6: Delete when 1 year old or when no longer needed for administrative, legal, audit or other operational purposes whichever is sooner. Program Office supported by the system: Chief Taxpayer Service, Cash Management Office. A. Input Records: These records include magnetic tapes from the Distributed Input System and report files which contain returns, non-scannable payment vouchers and checks. Delete/destroy when 1 year old or when no longer needed for administrative, legal, audit or other operational purposes whichever is sooner. B. Output Records: These records include audit trails for checks received from taxpayers, documentation for preparation of the deposit of receipts, and payment posting information to update IDRS plus system backups, management information reports, ad hoc queries, audit trail, or equivalent documentation in electronic or hard copy formats. Delete/destroy when 1 year old or when no longer needed for administrative, legal, audit or other operational purposes whichever is sooner.

I.2 SA&A OR ECM-R

23. Has the system been through SA&A (Security Assessment and Authorization) or ECM-R (Enterprise Continuous Monitoring Reauthorization)? Yes

23a. If **yes**, what date was it completed? 11/14/2013

23.1 Describe in detail the system s audit trail. RPS-PM does not have users and is a batch processing system. GSS-23 controls all the information

J. PRIVACY TESTING

24. Does the system require a System Test Plan? No

24c. If **no**, please explain why. RPS-PM does not have users and is a batch processing system. RPS-PM is Non FISMA reportable.

K. SBU Data Use

25. Does this system use, or plan to use SBU Data in Testing? No

L. NUMBER AND CATEGORY OF PII RECORDS

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

26a. IRS Employees: Under 50,000
26b. Contractors: Not Applicable
26c. Members of the Public: Not Applicable
26d. Other: No

M. CIVIL LIBERTIES

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

N. ACCOUNTING OF DISCLOSURES

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

End of Report
