

Date of Approval: 03/14/2025  
Questionnaire Number: 1771

## Basic Information/Executive Summary

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

Return Transactions File On-Line Modernization Phase 1

Acronym:

RTFOL-MOD

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.

As part of the IRS commitment to putting taxpayers first, the IRS is in the process of enhancing its reporting and analysis services. There are over 100+ unique IRS data sources that must be migrated to the Enterprise Data Platform (EDP). This proposed modernization project is based on EDP transition efforts. The Return Transactions File On-Line Modernization (RTFOL-MOD) Phase 1 project primary goal is to migrate the RTFOL mainframe data source system to a new target MongoDB database on Enterprise Data Platform (EDP) by replicating the data. The functionality or meaning of the data is not being changed by this project. The RTFOL source mainframe system includes three (3) existing databases:

- Individual Returns Transaction File Online (IRTFOL)
- Business Return Transaction File Online (BRTFOL)

- Return Preparer Inventory Online (RPVOL)

This modernization initiative aims to enhance the efficiency and performance of the data management processes associated with return transactions. By moving the RTFOL data to MongoDB that resides in EDP, the project seeks to leverage advantages of a Non-Structured Query Language (NoSQL) database, such as improved scalability and flexibility in handling diverse data types.

## 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).

The RTFOL system receives SBU/PII data from IRS files/databases and IRS forms. The information included in the RTFOL system displays tax information for both business and individual filer returns for use in researching various tax issues including audits. Some PII is used as the key to identify the requested return. The SSN/Individual Taxpayer Identification Number are used to retrieve the information for a specific taxpayer. RTFOL data is approved for destruction three years after the end of the processing year in which the file is extracted N1-58-09-109, approved 12-7-2009. This disposition authority also applies to the retention of system inputs, outputs and documentation. These disposition instructions are published in IRS Document 12990 under Records Control Schedule 19, Item 85.

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

Address

Citizenship or Migration Status

Email Address

Employer Identification Number

Employment Information

Family Members

Federal Tax Information (FTI)

Financial Account Number

Individual Taxpayer Identification Number (ITIN)

Name

Preparer Taxpayer Identification Number (PTIN)

Professional License Number

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

Tax ID Number  
Telephone Numbers  
Vehicle Identification Number (VIN)

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)?

Yes

1.2 What is the IRA Initiative Number?

4.1 (Transform core account data and processing: The IRS will modernize the systems used to access and process taxpayer data)

1.3 What type of project is this (system, project, application, database, pilot/proof of concept, power platform/visualization tool)?

Application

1.35 Is there a data dictionary for this system?

Yes

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?

7016

1.7 What are the changes and why?

Adding the following Return Transactions File Online (RTFOL) file databases (which are a part of the Application Development (AD) Tax Data On-Line (TDOL)) to MongoDB on the Enterprise Data Platform (EDP):  IRTFOL - Individual Returns Transaction File Online  BRTFOL - Business Return Transaction File Online  RPVOL - Returns Preparer Inventory Online This is being done as part of the IRS commitment to enhance reporting and analysis services by migrating IRS data store sources to MongoDB on the Enterprise Data Platform (EDP). By transitioning to MongoDB on EDP, the advantages of leveraging a Non-Structured Query Language (NoSQL) database such as

improved scalability and flexibility in handling diverse data types will be able to be attained.

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.

211588

1.9 What OneSDLC State is the system in (Allocation, Readiness, Execution)?

Prior to Production

1.95 If this system has a parent system, what is the four digit PCLIA Number of the parent system?

8556

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".

Exempt

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

Applications Development Corporate Data Domain Governance Board (AD-CPDGB)

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?

Yes

3.31 Please identify the Cloud Service Provider (CSP), FedRAMP Package ID, and date of FedRAMP authorization.

- Cloud Service Provider (CSP) = EDP/AWS
- FedRAMP Package ID = FR1801046750
- Date of FedRAMP authorization = 03/02/2020

3.32 Who has access to the CSP audit data (IRS or 3rd party)?

Internal Revenue Service (IRS), Treasury Inspector General for Tax Administration (TIGTA) and General Accounting Office (GAO)

3.32 Does the CSP allow auditing?

Yes

3.33 Please indicate the background check level required for the CSP (None, Low, Moderate or High).

Moderate

3.4 Is there a breach/incident plan on file?

No

3.5 Does the data physically reside in systems located in the United States and its territories and is all access and support of this system performed from within the United States and its territories?

Yes

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.

This system is not a repository of taxpayer information. RTFOL passes data that is submitted directly to the IRS through other IRS applications. This System does not interact with taxpayers directly and thus "due process" is addressed by other IRS applications that directly interact with taxpayers. Taxpayer rights are provided on tax forms filed by individuals. Any issues that are identified by these other means will submit changes to this system through automated methods so an auditable record may be maintained. Due Process is provided to 5 USC.

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.

IRS Employees: Users Read-Only

Managers Read-Only

Sys. Administrators Read-Only

Developers Read and Write

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".

Not Applicable

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 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?

Users must apply for access via the Business Entitlement Access Request System (BEARS). Management and security must then approve the request. The Security and Communications System (SACS) system then enforces these access permissions. Developers needing write access to the files must also apply through the BEARS system and be granted Resource Allocation Control File (RACF) access.

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?

Prisma Cloud and Orca Security are security platforms designed to secure applications and infrastructure in cloud. Security risks are identified on EDP by vulnerability scans using Prisma Cloud and Orca Security prior to and post-production. Any identified security vulnerabilities will be mitigated within the timeframes dictated by IRS Cyber.

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**

Forms

Agency Name

1040-NR-EZ U.S. Income Tax Return for Certain Nonresident  
Aliens with No Dependents

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

## **Interface Type**

Forms

Agency Name

1040 Schedule R Credit for the Elderly or the Disabled

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

## **Interface Type**

Forms

Agency Name

Form 5329 Additional Taxes on Qualified Plans (Including IRAs)  
and Other Tax-Favored Accounts

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

## **Interface Type**

Forms

Agency Name

Form 706 United States Estate (and Generation-Skipping Transfer)  
Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

941 Employer's Quarterly Federal Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1040 Schedule E Supplemental Income and Loss

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1040-SS U.S. Self-Employment Tax Return (Including the  
Refundable Child Tax Credit for Bona Fide

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1040 Schedule H Household Employment Taxes

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 8615 Tax for Certain Children Who Have Unearned Income

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 990-C Farmers' Cooperative Association Income Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 944 Employer's Annual Federal Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1041-N U.S. Income Tax Return for Electing Alaska Native  
Settlement Trusts

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 5330 Return of Excise Taxes Related to Employee Benefit  
Plans

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1120-X Amended U.S. Corporation Income Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8996 Qualified Opportunity Fund

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8752 Required Payment or Refund Under Section 7519

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8328 Carry forward Election of Unused Private Activity  
Bond Volume Cap

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 9000 Alternative Media Preference

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

8038-GC Information Return for Small Tax-Exempt Governmental  
Bond Issues, Leases, and Installment Sa

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

1041 U.S. Income Tax Return for Estates and Trusts

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 8960 Net Investment Income Tax - Individuals, Estates, and  
Trusts

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 730 Monthly Tax Return for Wagers

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

1120-S U.S. Income Tax Return for an S Corporation

**Incoming/Outgoing**

Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8586 Low-Income Housing Credit

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8949 Sales and Other Dispositions of Capital Assets

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
1040 U.S. Individual Income Tax Return

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 6198 At-Risk Limitations

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
709 United States Gift (and Generation-Skipping Transfer) Tax  
Return

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

**Interface Type**

    Forms  
Agency Name  
    Form 706GS(D) Generation-Skipping Transfer Tax Return for  
    Distributions  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    Form 1116 Foreign Tax Credit  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    Form 8814 Parents' Election to Report Child's Interest and  
    Dividends  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    Form 6251 Alternative Minimum Tax - Individuals  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 1120-C U.S. Income Tax Return for Cooperative  
Associations

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 2290 Heavy Highway Vehicle Use Tax Return

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 943 Employer's Annual Federal Tax Return for Agricultural  
Employees

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 11-C Occupational Tax and Registration Return for  
Wagering

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 965 Inclusion of Deferred Foreign Income Upon Transition  
to Participation Exemption System

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

**Interface Type**

    Forms  
Agency Name  
    990-EZ Short Form Return of Organization Exempt from Income  
    Tax  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    1040 Schedule EIC Earned Income Credit  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    Form 8038 Information Return for Tax-Exempt Private Activity  
    Bond Issues  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    Form 4972 Tax on Lump-Sum Distributions  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 8958 Allocation of Tax Amounts Between Certain  
Individuals in Community Property States

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

1040 Schedule J Income Averaging for Farmers and Fishermen

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 8910 Alternative Motor Vehicle Credit

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 8804 Annual Return for Partnership Withholding Tax  
(Section 1446)

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 940-EZ Employer's Annual Federal Unemployment (FUTA)  
Tax Return

**Incoming/Outgoing**

Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 1120-PC U.S. Property and Casualty Insurance Company  
Income Tax Return

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8997 Initial and Annual Statement of Qualified Opportunity  
Fund (QOF) Investments

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 1120-REIT U.S. Income Tax Return for Real Estate  
Investment Trusts

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 1065 U.S. Return of Partnership Income

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 1042 Annual withholding of Tax return for U.S. income for  
Foreign Persons

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

706-GS(T) Generation-Skipping Transfer Tax Return for  
Terminations

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 6252 Installment Sale Income

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 1120-F U.S. Income Tax Return of a Foreign Corporation

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 5405 Repayment of the First-Time Homebuyer Credit

**Incoming/Outgoing**

Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 1041-A U.S. Information Return Trust Accumulation of  
Charitable Amounts

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 990 Return of Organization Exempt from Income Tax

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8872 Political Organization Report of Contributions and  
Expenditures

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 3520 Annual Return to Report Transactions with Foreign  
Trusts and Receipt of Certain Foreign Gi

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

8038-B Information Return for Build America Bonds and  
Recovery Zone Economic Development Bonds

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 8871 Political Organization Notice of Section 527 Status

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

8038-CP Returns for Credit Payments to Issuers of Qualified  
Bonds

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

944(SS) Employer's ANNUAL Federal Tax Return - American  
Samoa, Guam, the Commonwealth of Northern Mari

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 4720 Return of Certain Excise Taxes Under Chapters 41 and  
42 of the Internal Revenue Code

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

**Interface Type**

    Forms  
Agency Name  
    Form 4797 Sale of Business Property  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    Form 8889 Health Savings Accounts (HSAs)  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    Form 8959 Additional Medicare Tax  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    8038-TC Information Return for Tax Credit Bonds and Specified  
    Tax Credit Bonds  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1040 Schedule F Profit or Loss from Farming

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 8867 Paid Preparer's Due Diligence Checklist

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1040EZ Income Tax Return for Single and Joint Filers with No Dependents

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 3800 General Business Credits

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 8606 Nondeductible IRAs

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 941 Employer's Quarterly Federal Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

706-NA United States Estate (and Generation-Skipping Transfer)

Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 8888 Allocation of Refund

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 720 Quarterly Federal Excise Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

11-C Occupational Tax and Registration Return for Wagering

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 1120-FSC U.S. Income Tax Return of a Foreign Sales Corporation

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 1066 U.S. Real Estate Mortgage Investment Conduit (REMIC) Income Tax Return

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 1120-ND Return for Nuclear Decommissioning Funds and Certain Related Persons

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

**Agency Name**

Form 1120-H U.S. Income Tax Return for Homeowners Associations

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 1139 Corporation Application for Tentative Refund

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

8038-T Arbitrage Rebate, Yield Reduction and Penalty in Lieu of  
Arbitrage Rebate

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

990-T Exempt Organization Business Income Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1040-NR U.S. Nonresident Alien Income Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 8978 Partner's Additional Reporting Year Tax

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1120-SF U.S. Income Tax Return for Settlement Funds (Under  
Section 468B)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 8965 Health Coverage Exemptions

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1040 Schedule A Itemized Deductions

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 1120-L U.S. Life Insurance Company Income Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 8703 Annual Certification of a Residential Rental Project

Incoming/Outgoing

Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 4952 Investment Interest Expense Deduction

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 2441 Child and Dependent Care Expenses

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 1041-QFT U.S. Income Tax Return for Qualified Funeral  
Trusts

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 4835 Farm Rental Income and Expenses

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8863 Education Credits (American Opportunity and Lifetime  
Learning Credits)

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

**Interface Type**

    Forms  
Agency Name  
    1042 Annual Withholding Tax Return for U.S. Source Income of  
    Foreign Persons  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    Form 8936 Clean Vehicle Credits  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

    Forms  
Agency Name  
    8038-G Information Return for Tax-Exempt Governmental Bonds  
Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Electronic File Transfer Utility (EFTU)

**Interface Type**

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

**Interface Type**

IRS Systems, file, or database

Agency Name

MongoDB

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

IRS Systems, file, or database

Agency Name

Databricks

Incoming/Outgoing

Both

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

990-N Electronic Notice (e-Postcard) for Tax-Exempt  
Organizations Not Required to File Form 990 or F

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 1120-A U.S. Corporation Short-Form Income Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 8919 Uncollected Social Security and Medicare Tax on  
Wages

Incoming/Outgoing

Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8853 Archer MSAs and Long-Term Care Insurance  
Contracts

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 945 Annual Return of Withheld Federal Income Tax

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 4137 Social Security and Medicare Tax on Unreported Tip  
Income

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8941 Credit for Small Employer Health Insurance Premiums

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1040 Schedule D Capital Gains and Losses

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 4684 Casualties and Thefts

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 8839 Qualified Adoption Expenses

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 990-EZ Short Form Return of Organization Exempt from  
Income Tax

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 940 Employer's Annual Federal Unemployment (FUTA)  
Tax Return

Incoming/Outgoing

Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
1065-B U.S. Return of Income for Electing Large Partnerships

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 1120-POL U.S. Income Tax Return for Certain Political  
Organizations

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
990 Schedule C Political Campaign and Lobbying Activities

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 4136 Credit for Federal Tax Paid on Fuels

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 2555 Foreign Earned Income

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1040 Schedule SE Self-Employment Tax

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

3520-A Annual Information Return of Foreign Trust with a U.S.  
Owner (Under Section 6048(b))

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

1120-RIC U.S. Income Tax Return for Regulated Investment  
Companies

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name

Form 8917 Tuition and Fees Deduction

Incoming/Outgoing

Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8834 Qualified Electric Vehicle Credit

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8913 Credit for Federal Telephone Excise Tax Paid

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
CT-1 Employer's Annual Railroad Retirement Tax Return

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 990-PF Return of Private Foundation

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 8962 Premium Tax Credit (PTC)

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 5227 Split-Interest Trust Information Return

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 1120 U.S. Corporation Income Tax Return

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

Forms

Agency Name  
Form 13195 941/943/944/945/CT-1 Correspondence Action Sheet  
- Letter 21-c

Incoming/Outgoing  
Incoming (Receiving)

Transfer Method  
Electronic File Transfer Utility (EFTU)

**Interface Type**

IRS Systems, file, or database

Agency Name  
Amazon Simple Storage Service (S3)

Incoming/Outgoing  
Both

Transfer Method  
Electronic File Transfer Utility (EFTU)

# Systems of Records Notices (SORNs)

## **SORN Number & Name**

IRS 22.062 - Electronic Filing Records

Describe the IRS use and relevance of this SORN.

Business and individual taxpayer return data will be used to serve the business return needs of Large Business and International (LB&I), Enterprise Automated Deployment (EAD), Privacy Governmental Liaison Disclosure (PGLD) Data Exchange, Return Review Program (RRP), Direct File, Business Tax Account (BTA), and Individual On-Line Account (IOLA).

## **SORN Number & Name**

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

PII may be used for IRS audit and security purposes.

## **SORN Number & Name**

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

IRMF data will be used to support the individual taxpayer return needs of Enterprise Automated Deployment (EAD), Privacy Governmental Liaison Disclosure (PGLD) Data Exchange, Return Review Program (RRP), Direct File, and Individual On-Line Account (IOLA).

## **SORN Number & Name**

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

BMF data will be used to serve the business return needs of Large Business and International (LB&I), Enterprise Automated Deployment (EAD), Privacy Governmental Liaison Disclosure (PGLD) Data Exchange, Return Review Program (RRP), Direct File, and Business Tax Account (BTA).

## **SORN Number & Name**

IRS 50.001 - Tax Exempt & Government Entities (TE/GE)  
Correspondence Control Records

Describe the IRS use and relevance of this SORN.

Disclosure of returns and return information may be made only as provided by 26 U.S.C. 6103 and 6104 where applicable. All other records may be used as described below if the IRS deems that the purpose of the disclosure is compatible with the purpose for which IRS collected the records, and no privilege is asserted. To

appropriate agencies, entities, and persons when: (a) The IRS suspects or has confirmed that the security or confidentiality of information in the system of records has been compromised; (b) the IRS has determined that as a result of the suspected or confirmed compromise there is a risk of harm to economic or property interests, identity theft or fraud, or harm to the security or integrity of this system or other systems or programs (whether maintained by the IRS or another agency or entity) that rely upon the compromised information; and (c) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with IRS efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

## **Records Retention**

### **What is the Record Schedule System?**

General Record Schedule (GRS)

### **What is the retention series title?**

Internal Revenue Service (IRS) Document 12990 under Records Control Schedule 19 for the Enterprise C

### **What is the GRS/RCS Item Number?**

85

### **What type of Records is this for?**

Both (Paper and Electronic)

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

Returns Transaction File On-Line System (RTFOL) maintains transcribed tax return data that is not kept on the master files.

### **What is the disposition schedule?**

Preparer Inventory data is approved for destruction 3 years after the end of the processing year in which the file is extracted (Job No. N1-58-09-109, approved 12-7-2009).

## **Data Locations**

### **What type of site is this?**

System

### **What is the name of the System?**

Return Transactions File Online Modernization

### **What is the sensitivity of the System?**

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System.

The Return Transactions File Online Modernization (RTFOL-MOD) system is designed to temporarily store the Return Transaction File Online taxpayer information which it is going to be transformed and migrated from the mainframe source system in Virtual Storage Access Method (VSAM) file format to the MongoDB on the Enterprise Data Platform (EDP) in JavaScript Object Notation (JSON) file format to modernize the taxpayer data solution. This Return Transaction File Online taxpayer information consists of: \* Individual Return Transaction File On-Line Processing (IRTFOL) which is part of the Standard Corporate Files On-Line (CFOL) system. \* Business Return Transaction File On-Line (BRTFOL) which provides on-line transactional access to Business Return Transaction file. \* Return Preparer Inventory On-Line (RPVOL) which provides information on tax return preparers.

What are the incoming connections to this System?

The incoming connections are from mainframe to S3 bucket and Databricks on Enterprise Data Platform (EDP) in Treasury T-Cloud to persist JSON information on MongoDB.

What are the outgoing connections from this System?

There are no outgoing connections during the Return Transaction File Online Modernization (RTFOL-MOD) Phase 1 project. Outgoing connections for Future RTFOL-MOD project phases will need to be defined as those modernization project efforts are initiated.