A. SYSTEM DESCRIPTION

1.   Enter the full name and acronym for the system, project, application and/or database. Electronic Filing of 94x XML, 94X XML

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.
> >
> > 295
> >
> > Next, enter the **date** of the most recent PIA.   11/9/2012
> >
> > 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 |
> > | No | New Interagency Use |
> > | Yes | 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.

Electronic Filing of 94x XML Returns (94x XML) is an Internal Revenue Service (IRS) Wage and Investment (W&I) application. 94x XML is a minor application consisting of a set of computer programs that process Form 94x returns received electronically from preparers for business taxpayers. The application resides within two General Support Systems. The system receives Employment/Unemployment Tax Returns (Forms 940, 941, and 944) and associated Electronic Payments from External Trading Partners. The 94x XML application then validates the tax return data received and processes (e.g., extracts and reformats) the data for use with other IRS systems.

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)?   No

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 data elements are required to carry out 94x XML business purposes, which are to validate 94x XML returns and then process (e.g., extract and reformat) the tax return data for use with other IRS systems.

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

Data input to the 94x XML menus is validated against the expected values. If an invalid entry is made, the system displays an "Invalid Choice" message and the user must hit the enter key to be returned to the menu. No processes are executed when invalid responses are entered. Customer Database (CDB), Financial Organizations Master File (FOMF), National Audit Account (NAP), and Third Party Data Store (TPDS) data is checked by system users for the expected format before being loaded into the 94x XML Oracle database tables. 94x XML employs rules to check the valid syntax of information system inputs (e.g., character set, length, numerical range, acceptable values) to verify that inputs match specified definitions for format and content and pre-screens inputs passed to interpreters to prevent the content from being unintentionally interpreted as commands. The CDB, FOMF, NAP, and TPDS data is checked for the correct format before being loaded into the 94x XML Oracle database. If any of these files is found to be in an invalid format, the loading process will abort and the user will be notified of the problem. Tax return data retrieved from EMS (Electronic Management System) is validated according to the methods described in the 94x XML Functional Specification Package document as described above.

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**
Treas/IRS 24.046	BMF
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

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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?   No

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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

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H. INDIVIDUAL NOTICE AND CONSENT

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.
Not applicable

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?   Consent is not applicable on this system.

19. How does the system or business process ensure due process regarding information access, correction and redress?
Not applicable on this system

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

IRS Employees?	Yes/No	Access Level(Read Only/Read Write/ Administrator)
Users	No	
Managers	No	
Sys. Administrators	Yes	Read and Write
Developers	No	

　　Contractor Employees?   No

　　21a. How is access to SBU/PII determined and by whom? Access to the 94x XML menu is controlled by Network Administrators. System Administrators must be granted access to the BMF 94x user group in order to execute 94x XML processing. System Administrators performing maintenance on the 94x XML server, mainframe, or database must also go through the Online 5081 (OL5081) process in order to be given an account to perform those duties. The OL5081 form lists mandatory rules for users of IRS information systems. Users are approved for access to the mainframe 94x XML menu by his/her manager, via the OL5081 system.

　　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.

> The National Archives and Records Administration (NARA) approved the destruction of 94x XML master data files at the end of each processing cycle (Job No. N1-58-10-18, Item 155, approved 4/5/2011). The retention requirements for 94x XML audit trail records, system outputs, and system documentation are also covered under the same NARA-approved authority, and will be published under IRM/Records Control Schedule 1.15.35 for Tax Administration Systems (Electronic), item 155 when RCS 35 is next updated and published. Recordkeeping copies of system inputs are appropriately scheduled in the context of their native systems and/or other authorities for taxpayer data in IRS RCS 29 for Submission Processing Campus Records.

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.   94x XML has no users .. There are no 94x XML application audit logs. The application is a batch file the resides on the GSS-23 & 24 platfrom. Unisys, Solaris platfrom monitors: The system logon shows a user has attempted access more than 3 times. (The audit log shows a potential failed logon attempt because the account-name or password is incorrect) Unusual usage patterns - directories/binaries accessed, etc. Intrusion and penetration of IRS systems. (Dial in access indicates intrusion and/or penetration is taking place on IRS systems.)

J. PRIVACY TESTING

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

    24c. If **no**, please explain why. The system (application) is no longer a FISMA reportable system.

K. SBU Data Use

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

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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: <u>Not Applicable</u>
26d. Other: <u>No</u>

M. CIVIL LIBERTIES

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

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? <u>No</u>

End of Report