Basic Information/Executive Summary

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

>Return Transaction File Online

Acronym:

>RTFOL

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.

>Individual Return Transaction File On-Line Processing (IRTFOL) is part of the Standard Corporate Files On-Line (CFOL) system and is used primarily to display tax return information on individual taxpayers. This system stores records in an International Business Machine (IBM) file and uses Customer Information Control System (CICS) as a transaction processor. Access to IRTFOL is through the IRTFOL maintained CICS command codes Returns Transaction View, Return Transaction File Copy, and Return for Taxpayer. Business Return Transaction File On-Line (BRTFOL) provides on-line transactional access to Business Return Transaction file. These files are accessed via BRTFOL maintained CICS command code BRTVU. Benefits to IRS: Tax analysts, tax researchers, and auditors use the command codes for their day-to-day work. This involves researching the tax return information in the system. The IRTFOL/BRTFOL data

is provided to compliance, correspondence, return preparers and transcript delivery system. It was owned by W&I (Wage & Investment) and now merged into Taxpayer Service.

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).
> This command code displays tax returns at the request of field users researching various tax issues. The retrieved data is used to do tax research related to audits. All filed information is of potential interest. 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. No verification of the PII data elements is done through the RTFOL programs. RTFOL only reads the data on the CFOL files. Verification is done by the system supplying the data to RTFOL (Generalized Mainline Framework, Individual Master File (IMF), Business Master File (BMF)).

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.
> Address
> Alien Registration Number
> Email Address
> Financial Account Number
> Individual Taxpayer Identification Number (ITIN)
> Name
> Professional License Number
> 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 Is this PCLIA a result of a specific initiative or a process improvement?

> No

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

> RTFOL is an application (which is a part of CFOL system), which maintain CICS command code.

3 What Tier designation has been applied to your system? (Number)

> 2

4 Is this a new system?

> No

4.1 Is there a previous Privacy and Civil Liberties Impact Assessment (PCLIA) for this project?

> Yes

4.11 What is the previous PCLIA number?

> 7016

4.12 What is the previous PCLIA title (system name)?

> Return Transaction File Online

4.2 You have indicated this is not a new system; explain what has or will change and why. (Expiring PCLIA, changes to the PII or use of the PII, etc.)

> Expiring PCLIA

5 Is this system considered a child system/application to another (parent) system?

> No

6 Indicate what OneSDLC State is the system in (Allocation, Readiness, Execution) or indicate if you go through Information Technology's (IT) Technical Insertion Process and what stage you have progressed to.

> Execution

7 Is this a change resulting from the OneSDLC process?

> No

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

> Applications Development Corporate Data Domain (ADCDD)

9 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.

> 210945

10 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?

> No

10.1 You have indicated that you do not have an "accounting of disclosures" process is in place; please indicate a projected completion date or explain the steps taken to develop your accounting of disclosures process. Note: The Office of Disclosure should be contacted to develop this system's accounting of disclosures process.

> This system does not disclose any PII to any third party outside the IRS.

11 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 and 14110?

> No

12 Does this system use cloud computing?

> No

13 Does this system/application interact with the public?

> No

14 Describe the business process allowing an individual to access or correct their information. (Due Process)

> No. Our application is for IRS internal use only and not open to individuals to view or correct.

15 Is this system owned and/or operated by a contractor?

> No

16 Identify what role(s) the IRS and/or the contractor(s) performs; indicate what access level (to this system's PII data) each role is entitled to. (Include details about completion status and level of access of the contractor's background investigation was approved for.)

> All IRS runs. User, Manager and System Administrator, read only; Developer, read/write.

17 The Privacy Act of 1974 (5 USC § 552a(e)(3)) requires each agency that maintains a system of records, to inform each individual requested to supply information about himself or herself. Please provide the Privacy Act Statement presented by your system or indicate a Privacy Act Statement is not used and individuals are not given the opportunity to consent to the collection of their PII.

    This system does not collect any information directly from taxpayers. All information that is stored in this system comes from the submission of tax returns submitted directly to the IRS through other IRS systems. Information from the tax returns is subsequently shared from the other applications to this system. The tax return form provides taxpayers information regarding the opportunity to decline or consent to providing the information.

18 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

19 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

20 How many records in the system are attributable to members of the public? Enter "Under 100,000", "100,000 to 1,000,000", "More than 1,000,000" or "Not applicable".

    Not Applicable

22 How is access to SBU/PII determined and by whom?

    Users must apply for access via the BEARS system. Management and security must then approve the request. The Security and Communications System (SACS) 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 access.

23 Is there a data dictionary on file for this system? Note: Selecting "Yes" indicates an upload to the Attachment Section is required.

    No

24 Explain any privacy and civil liberties risks related to privacy controls.

    No

25 Please upload all privacy risk finding documents identified for the system (Audit trail, RAFT, POA&M, Breach Plan, etc.); click "yes" to confirm upload(s) are complete.

    No

26 Describe this system's audit trail in detail. Provide supporting documents.

    The system audit logs will be retrieved by Splunk file transfer utility.

27 Does this system use or plan to use SBU data in a non-production environment?
No

Interfaces

Interface Type
IRS Systems, file, or database
Agency Name
Business Master File (BMF) and Individual Master File (IMF)
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Application to Application (A2A)

Systems of Records Notices (SORNs)

SORN Number & Name
IRS 34.037 - Audit Trail and Security Records
Describe the IRS use and relevance of this SORN.
Our application or this PCLIA system pertain to a group of any
record from which information is retrieved by any personal
identifier for an individual who is a US citizen, or an alien lawfully
admitted for permanent residence? An identifier may be a symbol,
voiceprint, SEID, or other personal identifier that is used to
retrieve information.

SORN Number & Name
IRS 24.046 - Customer Account Data Engine Business Master File
Describe the IRS use and relevance of this SORN.
Our application or this PCLIA system pertain to a group of any
record from which information is retrieved by any personal
identifier for an individual who is a US citizen, or an alien lawfully
admitted for permanent residence? An identifier may be a symbol,
voiceprint, SEID, or other personal identifier that is used to
retrieve information.

SORN Number & Name
IRS 24.030 - Customer Account Data Engine Individual Master
File

Describe the IRS use and relevance of this SORN.

Our application or this PCLIA system pertain to a group of any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.

SORN Number & Name

IRS 22.062 - Electronic Filing Records

Describe the IRS use and relevance of this SORN.

Our application or this PCLIA system pertain to a group of any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

19 Enterprise Computing Center - XXXXXXXXXXX (ECC-XXX)

What is the GRS/RCS Item Number?

85

What type of Records is this for?

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?

(B) System Data: System data in the Returns Transaction File On-Line System (RTFOL) contains extracted data required to work specific cases. (Job No. N1-58-09109) AUTHORIZED DISPOSITION Delete/Destroy 3 years after the end of the processing year in which the file is extracted.

Data Locations

What type of site is this?

System

What is the name of the System?

Splunk

What is the sensitivity of the System?

Sensitive But Unclassified (SBU)

Please provide a brief description of the System.

Splunk enables users to analyze and report on audit log data for RTFOL application. All audit trail records generated from RTFOL are available for review and analysis by Splunk system by authorized users. Splunk will fetch RTFOL audit data via Splunk FTP utility. Splunk collects, stores, and reports audit trail data for the investigation of instances of Unauthorized Access violations against IRS applications. The audit trail consists of a standardized record and is flexible to capture all events of audit interest. Splunk can be accessed only through the IRS Intranet.

What are the incoming connections to this System?

Splunk is the IRS's security Information and Event Management (SIEM) tool which collects, aggregates, and analyzes log data from various sources, like RTFOL, within the IRS to detect and respond to security threats in real-time. This integration includes all IRS system for event monitoring, to include internal operations as well as incoming and outgoing connections.