

Date of Approval: 05/13/2024
Questionnaire Number: 1160

Basic Information/Executive Summary

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

Remittance Transaction Research System - RTR

Business Unit

Taxpayer Services

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.

The Remittance Transaction Research (RTR) application consolidates all Integrated Submission Remittance Processing (ISRP), Lockbox Bank (LB), and Remittance Strategy for Paper Check Conversion (RS-PCC) remittance transaction data and images and makes them available to authorized internal users who need to research remittance transactions. The data and Images are on a Tier II platform with the production environment. The end users of the RTR system access the payment data and images through the web browser on internal standard workstations. The business requirements specify the ability to support 1,300 concurrent users. Information is used by Wage and Investment employees.

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).

RTR collects the following PII data from the taxpayer's remittance payment (check, money order) and voucher, to include: Name control, Bank routing, Taxpayer Identification Number (TIN), payment amount, Transaction Date, Deposit Date, Tax period, Transaction code and MFT account code, Name, Social Security Number (SSN), Taxpayer Identification Number (TIN), Address, Employer Identification Number (EIN), Standard Employee Identification (SEID). RTR is a repository of digital images of paper remittance checks submitted by taxpayers who don't pay electronically. The paper checks usually come with Name, Address, SSN/EIN, so the payment can be associated with the taxpayer's IRS account. RTR does not receive the actual paper checks, just the digitized images.

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

Address

Email Address

Employer Identification Number

Financial Account Number

Name

Other

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

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)?

System

1.35 Is there a data dictionary for this system?

Yes

1.36 Explain in detail how PII and SBU data flow into, through and out of this system.

RTR collects the following PII data from the taxpayer's remittance payment (check, money order) and voucher, to include: name control, bank routing, Taxpayer Identification Number (TIN), payment amount, transaction date, deposit date, tax period, transaction code and MFT account code, name, Social Security Number (SSN), Taxpayer Identification Number (TIN), address, Employer Identification Number (EIN), Standard Employee Identification (SEID). RTR is a repository of digital images of paper remittance checks submitted by taxpayers who don't pay electronically. The paper checks usually come with Name, Address, SSN/EIN, so the payment can be associated with the taxpayer's IRS account. RTR does not receive the actual paper checks, just the digitized images. The RTR system receives data from the Integrated Submission and Remittance Processing (ISRP), Remittance Strategy for Paper Check Conversion (RS-PCC), and Lockbox Bank systems, which have their own verification process for data accuracy, timeliness, completeness and therefore, RTR assumes that the data is accurate, timely, and complete when it is provided by these systems.

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?

5892

1.7 What are the changes and why?

Addition of new PII requirements.

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.

210921

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".
No

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

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

3.4 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

3.64 If the individual was not notified of the following items prior to the collection of information, why not? 1) Authority to collect the information 2) If the collection is mandatory or voluntary 3) The purpose for which their information will be used 4) Who the information will be shared with 5) The effects, if any, if they don't provide the requested information.

THIS U.S. GOVERNMENT SYSTEM IS FOR AUTHORIZED USE ONLY!
Use of this system constitutes consent to monitoring, interception, recording, reading, copying or capturing by authorized personnel of all activities. There is no right to privacy in this system. Unauthorized use of this system is prohibited and subject to criminal and civil penalties, including all penalties applicable to willful unauthorized access (UNAX) or inspection of taxpayer records (under 18 U.S.C. 1030 and 26 U.S.C. 7213A and 26 U.S.C. 7431). Policy and Guidance 10.8.1 page 61 Cat.

3.7 Describe the business process allowing an individual to access or correct their information.

RTR is a READ ONLY system. Not accessible by Taxpays.

4.1 Who owns and operates the system (IRS Owned and Operated, IRS Owned and Contractor Operated, Contractor Owned and Operated)?

IRS - Wage & Investment

4.2 If a contractor owns or operates the system, does the contractor use subcontractors?

Contractors do not own or operate the RTR system

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-Only

Managers - Read-Only

Sys. Administrators - Read-Only

Developers - Read-Only

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".

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?

Employees request access to the application by submitting a BEARs request which must be approved by their manager. A potential user will request access via the BEARS system. This request must be approved by the potential user's manager based on 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?

No

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.

Not Applicable

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

SPLUNK

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Other

Other Transfer Method

Universal Forwarder (UF)

Interface Type

IRS Systems, file, or database

Agency Name

Integrated Submission and Remittance Processing (ISRP) System,
Remittance Strategy for Paper Check C

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 22.054 - Subsidiary Accounting Files

Describe the IRS use and relevance of this SORN.

Personally Identifiable Information (PII) that are collected, maintained and used.

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

Taxpayer Information Specific - In addition to the Security Audit Automatic Response and Auditable Events requirements applications which process any type of, or subset of, taxpayer data shall capture and record the following application transactional information in audit trails: Employee and contractor transactions that add, delete, modify, or research a tax filer's record. Employee and contractor transactions that add, delete, modify, or research an employee's record (personnel and financial). Employee and contractor transactions that add, delete, or modify an employee's access to Employee User Portal (EUP), including changes to EUP roles or sub-roles. Audit logs are sent to SPLUNK.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Record Control Schedule (RCS) - Wage and Investment Records

What is the GRS/RCS Item Number?

29

What type of Records is this for?

Electronic

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

(A) Inputs: Include remittance data and images files sent from Integrated Submission and Remittance Processing (ISRP) System, Remittance Strategy for Paper Check Conversion System (RS-PCC), and LockBox banks. (GRS 5.2, Item 020; Job No. DAA-GRS-2017-0003-0002) (B) System Data (Master Files): Includes information on daily Loads and Deposits, performance metrics for each site and/or user group, and various images from remittance processing. Images include the front and back of checks and the front of vouchers. (Job No. N1-58-09-47) (C) Outputs: Reports include the Daily Deposit Timeliness Report, Deposit Activity Report, Performance Metrics Report, Reconciliation Report, Remittance Register Report (Form 813), End Point Master Listing, Audit Log Report, and other data and images from remittance

processing. (GRS 5.2, Item 020; Job No. DAA-GRS-2017- 0003-0002)

What is the disposition schedule?

(A) Inputs: AUTHORIZED DISPOSITION Delete after input verification into RTR master files. (B) System Data (Master Files): AUTHORIZED DISPOSITION Cut off at end of processing year. Delete 6 years after cutoff. (C) Outputs: AUTHORIZED DISPOSITION Destroy/Delete when superseded, obsolete or no longer needed, whichever is later.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Under RCS 29 for Tax Administration - Wage and Investment Records

What is the GRS/RCS Item Number?

29

What type of Records is this for?

Electronic

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

The data and images for RTR are located on electronic media (database/cartridge). Once the retention period (7 years) has expired, the data and images will be overwritten. This disposition instruction is in accordance with National Archives-approved Job No. N1-58-09-47.

What is the disposition schedule?

Delete after input verification into RTR master files. Cut off at end of processing year. Delete 6 years after cutoff. Destroy/Delete when superseded, obsolete or no longer needed, whichever is later.

Data Locations

What type of site is this?

Environment

What is the name of the Environment?

Veritas Network storage

What is the sensitivity of the Environment?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the Environment.

Internal Network storage

What are the incoming connections to this Environment?

Data is then transferred to RTR via Electronic File Transfer Utility (EFTU).

What are the outgoing connections from this Environment?

RTR to SPLUNK: RTR sends user audit information to SPLUNK web service.

What type of site is this?

Environment

What is the name of the Environment?

RTR database

What is the sensitivity of the Environment?

Sensitive But Unclassified (SBU)

What is the URL of the item, if applicable?

<https://rtr.web.irs.gov/rtr>

Please provide a brief description of the Environment.

The production environment for RTR is located at the Enterprise Computing Center-Memphis (ECC-MEM). RTR resides on GSS-24 infrastructure for implementation and enforcement of infrastructure security controls.

What are the incoming connections to this Environment?

RTR Incoming Connections: - SSO to RTR: RTR gets user details/role from SSO - which pulls them from LDAP. - EAIB to RTR: RTR receives list of Negative TIN from the EAIB web service interface when the user logs in based on the user's SEID. EAIB, itself, retrieves NTIN data from NTIN network service.

What are the outgoing connections from this Environment?

RTR to SPLUNK: RTR sends user audit information to SPLUNK web service.