

Date of Approval: 07/10/2024
Questionnaire Number: 1330

Basic Information/Executive Summary

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

UITP 1040 Amended Return Automation

Acronym:

UITP-1040

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.

Unified Intake Tax Processing (UITP) Phase 0 will automate select use cases for the processing of amended returns (Form 1040X) which are currently worked manually in the campus. In the future additional use cases will be incorporated into the scope to expand the capabilities of the system. This is a backend solution. Approximately 500 users in Submission Processing (SP) annually will benefit from the automation once deployed. The impact is indirect, as the automation occurs before inventories are worked by the SP Tax Examiners as it filters out the selected use cases for processing. The solution is currently slated for SAT environment mid-July and Production in beginning of January 2025. Automating this process will allow the overall alignment to the IRA goal.

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 project receives Modernized e-File (MeF) Accounts Management Services (AMS) 1040X records, which consist of the Primary TIN/SSN, DLN. Data is stored into our collection on a temporary basis. Once the file is processed, this data is deleted. In some cases, the Secondary TIN information is used from Modernized Tax Return Database (MTRDB) but not stored.

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

Document Locator Number (DLN)

Individual Taxpayer Identification Number (ITIN)

Social Security Number (including masked or last four digits)

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?

4.1.5.1

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

UITP 1040 Amended Return Automation application

1.35 Is there a data dictionary for this system?

Yes, UITP 1040 Amended Return Automation process stores and retrieves data from UITP MongoDB database. UITP MongoDB data transfer objects (DTO) Data definitions have been uploaded (Data Dictionary MongoDB).

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

The UITP amendment automation system receives Modernized e-File (MeF) Account Management Services (AMS) 1040X records for the automation process, via Electronic File Transfer Utility (EFTU). UITP system processes the record as per the taxpayers amendment request. During the process, UITP microservices will interface with Modernized Tax Return Database (MTRDB) and Integrated Data Retrieval System (IDRS) to validate taxpayer account details, original 1040 return details, taxpayers income documents (IDOCs) and Amended 1040X package, which consist of the PII and SBU data. The UITP system reads from MTRDB and IDRS to validate and verify taxpayers and tax return details. Once the process completes, UITP system posts the Amendment changes to IDRS as per the IRM. During the process, UITP does not store any PII and SBU data permanently. As part of the automation process, data will be temporarily stored in MeF to AMS data record tables in MongoDB. These temporary data store will be purged as per the business SLA. F1040, F1040X, AMS data file, and MEF2AMS file is attached. MeF ICD is also attached which has the AMS data file details are in page 10 and 11.

1.4 Is this a new system?

Yes

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.

211529. The copy of the ABA is uploaded.

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

Readiness

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

No parent system.

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.

Application Development Submission Processing Domain Governance Board
(AD SPD GB)

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

3.6 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.

Not applicable. The UITP system is an amendment automation system to process amended returns. This system run behind the Firewall3. The system does not have an external user interface.

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.

Developers - read only, only Dev leads will have production access

Testers - read only, only Test leads will have production access

Product Owners - read only

All contractors have completed background investigation.

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".

Not Applicable. UITP Amendment Automation process records begins as we receive the AMS data record file from the MeF system to UITP.

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. UITP Amendment Automation process records begins as we receive the AMS data record file from the MeF system to UITP.

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

SBU/PII is accessed by the automation system based on the needs of the transaction. No human can access the data. The AMS data records file that we receive from MeF system consists of TINs. This file is consumed by the UITP system. UITP system will use system account to access SBU/PII information. The question is not answered, the UITP Amendment automation microservices will determine what SBU/PII data will need to be accessed based on the taxpayers amendment request.

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?

No security risk has been identified now. Security assessment and security testing will be done.

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

IRS Systems, file, or database

Agency Name

Modernized e-File

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Integrated Data Retrieval System

Incoming/Outgoing

Both

Transfer Method
Application to Application (A2A)

Interface Type

Forms
Agency Name
1040
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database
Agency Name
Modernized Tax Return Database
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Application to Application (A2A)

Interface Type

Forms
Agency Name
1040X
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database
Agency Name
Account Management Service
Incoming/Outgoing
Outgoing (Sending)
Transfer Method
Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

UITP 1040 Amended Return Automation System updates the individual account data through IDRS. The transaction represents a record that must be retained

Records Retention

What is the Record Schedule System?

Non-Record

Data Locations

What type of site is this?

System

What is the name of the System?

Modernized Tax Return Database (MTRDB)

What is the sensitivity of the System?

Federal Tax Information (FTI)

Please provide a brief description of the System.

MTRDB DS is the authoritative data store for all original federal taxpayer submissions filed through and accepted by the Modernized e-File (MeF) system. M-TRDB DS stores complete tax return documents in XML format and all the PDF binary attachments.

What are the incoming connections to this System?

The incoming connection to MTRDB is from the UITP 1040 Amended Return Automation system, requesting 1040 Amended return data

What type of site is this?

SharePoint Online (SPO) Collection

What is the name of the SharePoint Online (SPO) Collection?

AD SP Sub Office 1040X

Please provide a brief description of the SharePoint Online (SPO) Collection.

General repository of all artifacts related to the 1040 Amended Return Automation project.