

NOTE: The following reflects the information entered in the PIAMS Website.

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## A. SYSTEM DESCRIPTION

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Authority: Office of Management Budget (OMB) Memorandum (M) 03-22, OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002 & PVR #10- Privacy Accountability and #21-Privacy Risk Management

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Date of Approval: 03/26/2014 PIA ID Number: 807

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1. What type of system is this? Non-Major System

1a. Is this a Federal Information Security Management Act (FISMA) reportable system? Yes

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2. Full System Name, Acronym, and Release/Milestone (if appropriate):

Railroad Administration Passport, RRA PP

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2a. Has the name of the system changed? No

If yes, please state the previous system name, acronym, and release/milestone (if appropriate):

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3. Identify how many individuals the system contains information on

Number of Employees: Not Applicable

Number of Contractors: Not Applicable

Members of the Public: Under 100,000

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4. Responsible Parties:

NA

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5. General Business Purpose of System

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Railroad Administration and Passport (RRA PP) is a Small-Other system/application sponsored by The Large Business and International Individual Compliance Branch.

This system/application initially went into production in 1998 and provides the following functionality:

- Assist in identifying Non-filers holding passports in the United States
- Creating the initial Document Type 15 record for the Information Returns Masterfile
- Establishing data for the use of other processes involving Foreign returns
- Providing a report listing the various Countries for the Foreign Returns processed The Passport project assists in identifying non-filers holding passports in the United States. The results of the validation process are written to various files depending on the validity of the TIN's and birthdates. Due process is provided pursuant to 26 USC.

6. Has a PIA for this system, application, or database been submitted previously to the Office of Privacy Compliance? (If you do not know, please contact \*Privacy and request a search) No

6a. If Yes, please indicate the date the latest PIA was approved:

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6b. If Yes, please indicate which of the following changes occurred to require this update.

- System Change (1 or more of the 9 examples listed in OMB 03-22 applies) (refer to PIA Training Reference Guide for the list of system changes)
  - System is undergoing Security Assessment and Authorization
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6c. State any changes that have occurred to the system since the last PIA

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7. If this system has an Exhibit 53 or Exhibit 300 please provide the Unique Project Identifier (UPI) number (XXX-XX-XX-XX-XX-XXXX-XX). Otherwise, enter the word 'none' or 'NA'. NA

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## B. DATA CATEGORIZATION

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Authority: OMB M 03-22 & PVR #23- PII Management

8. Does this system collect, display, store, maintain or disseminate Personally Identifiable Information (PII)? Yes

8a. If No, what types of information does the system collect, display, store, maintain or disseminate?

9. Indicate the category that best describes the source that provides or originates the PII collected, displayed, stored, maintained or disseminated by this system. Most common categories follow:

Taxpayers/Public/Tax Systems Yes  
Employees/Personnel/HR Systems No

Other Source:

Other No

10. Indicate all of the types of PII collected, displayed, stored, maintained or disseminated by this system. Then state if the PII collected is on the Public and/or Employees. Most common fields follow:

TYPE OF PII	Collected?	On Public?	On IRS Employees or Contractors?
Name	Yes	Yes	No
Social Security Number (SSN)	Yes	Yes	No
Tax Payer ID Number (TIN)	No	No	No
Address	Yes	Yes	No
Date of Birth	Yes	Yes	No

Additional Types of PII: No

PII Name On Public? On Employee?

No No

10a. Briefly describe the PII available in the system referred to in question 10 above.

Taxpayers: 1. Name -- Surname, First Name & Middle Initial 2. SSN -- Social Security Number 3. Address -- Street Address, City/APO/FPO, State, Country, Zip Code 4. Date of Birth -- Year, Month, Day

If you answered Yes to Social Security Number (SSN) in question 10, answer 10b, 10c, and 10d.

10b. Cite the authority that allows this system to contain SSN's? (e.g. specific regulations, statutes, etc.)

IRC 6109

10c. What alternative solution to the use of the SSN has/or will be applied to this system? (e.g. masking, truncation, alternative identifier)

n/a

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10d. Describe the planned mitigation strategy and forecasted implementation date to mitigate or eliminate the use of Social Security Numbers on this system?

n/a

11. Describe in detail the system's Audit Trail. State what data elements and fields are collected. Include employee log-in information. If the system does not have audit capabilities, explain why an Audit Trail is not needed.

n/a

11a. Does the Audit Trail contain the audit trail elements as required in current IRM 10.8.3 *Audit Logging Security Standards*? No

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12. What are the sources of the PII in the system? Please indicate specific sources:

a. IRS files and databases: No

If Yes, the system(s) are listed below:

No System Records found.

b. Other federal agency or agencies: Yes

If Yes, please list the agency (or agencies) below:

Department of State

c. State and local agency or agencies: Yes

If Yes, please list the agency (or agencies) below:

Department of State

d. Third party sources: No

If yes, the third party sources that were used are:

e. Taxpayers (such as the 1040): No

f. Employees (such as the I-9): No

g. Other: No If Yes, *specify*:

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### C. PURPOSE OF COLLECTION

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*Authorities: OMB M 03-22 & Internal Revenue Manual (IRM) 10.8.8, IT Security, Live Data Protection Policy & PVR #16, Acceptable Use*

13. What is the business need for the collection of PII in this system? Be specific.

These PII are necessary to verify identity. The IRP Passport validates data received from the United States Department of State via Secured Data Transfer (SDT). The Passport project assists in identifying non-filers holding passports in the United States. The results of the validation process are written to various files depending on the validity of the Taxpayer Identification Numbers (TINs), Social Security Numbers (SSNs) and Birthdates. Without the TINs and SSNs, the data cannot be verified.

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### D. PII USAGE

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*Authority: OMB M 03-22 & PVR #16, Acceptable Use*

14. What is the specific use(s) of the PII?

To conduct Tax Administration	<u>No</u>
To provide Taxpayer Services	<u>No</u>
To collect Demographic Data	<u>No</u>
For employee purposes	<u>No</u>

*If other, what is the use?*

Other:

Yes

The PII is necessary to identify non-filers holding passports in the United States. This is the sole purpose for this project.

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**E. INFORMATION DISSEMINATION**

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Authority: OMB M 03-22 & PVR #14- Privacy Notice and #19- Authorizations

15. Will the information be shared outside the IRS? (for purposes such as computer matching, statistical purposes, etc.) No

15a. If yes, with whom will the information be shared? The specific parties are listed below:

	Yes/No	Who?	ISA OR MOU**?
Other federal agency (-ies)			
State and local agency (-ies)			
Third party sources			
Other:			

\*\* Inter-agency agreement (ISA) or Memorandum of Understanding (MOU)

16. Does this system host a website for purposes of interacting with the public? No

17. Does the website use any means to track visitors' activity on the Internet?

If yes, please indicate means:

	YES/NO	AUTHORITY
Persistent Cookies	_____	_____
Web Beacons	_____	_____
Session Cookies	_____	_____
Other:	_____	_____

*If other, specify:*

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**F. INDIVIDUAL CONSENT**

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Authority: OMB M 03-22 & PVR #15- Consent and #18- Individual Rights

18. Do individuals have the opportunity to decline to provide information or to consent to particular uses of the information? Not Applicable

18a. If Yes, how is their permission granted?

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19. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action? Yes

19a. If Yes, how does the system ensure "due process"?

Due process is provided pursuant to 26 USC.

20. Did any of the PII provided to this system originate from any IRS issued forms? No

20a. If Yes, please provide the corresponding form(s) number and name of the form.

No forms found.

20b. If No, how was consent granted?

Written consent	_____	No
Website Opt In or Out option	_____	No
Published System of Records Notice in the Federal Register	_____	No
Other: <u>Passport SORN (State-26)</u>	_____	Yes

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**G. INFORMATION PROTECTIONS**

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Authority: OMB M 03-22 & PVR #9- Privacy as Part of the Development Life Cycle, #11- Privacy Assurance, #12- Privacy Education and Training, #17- PII Data Quality, #20- Safeguards and #22- Security Measures

21. Identify the owner and operator of the system: IRS Owned and Operated

21a. If Contractor operated, has the business unit provided appropriate notification to execute the annual security review of the contractors, when required?

22. The following people have use of the system with the level of access specified:

	Yes/No	Access Level
IRS Employees:	<u>Yes</u>	
Users		<u>No Access</u>
Managers		<u>Read Only</u>
System Administrators		<u>Read Only</u>
Developers		<u>Read Only</u>
Contractors:	<u>No</u>	
Contractor Users		<u></u>
Contractor System Administrators		<u></u>
Contractor Developers		<u></u>
Other:	<u>No</u>	<u></u>

If you answered yes to contractors, please answer 22a. (All contractor/contractor employees must hold at minimum, a "Moderate Risk" Background Investigation if they have access to IRS owned SBU/PII data.)

22a. If the contractors or contractor employees act as System Administrators or have "Root Access", does that person hold a properly adjudicated "High Level" background investigation?

23. How is access to the PII determined and by whom?

Access (Read Only) is allowed if the developer submits a Form MIST-104 to their immediate Manager and the Manager approves the request and forwards the form to the appropriate section for implementation

24. How will each data element of SBU/PII be verified for accuracy, timeliness, and completeness?

The system does elementary validation of SSN (all numeric), State, Country (State code is valid, Country code & name is valid) & Zip Code (Numeric for US & US territories). Department of State cannot validate or ensure completeness and accuracy of data because information received from each Embassy & Consulate is not standardized. No formal template for data input.

25. 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? No

25a. 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.

If No, how long are you proposing to retain the records? Please note, if you answered no, you must contact the IRS Records and Information Management Program to initiate records retention scheduling before you dispose of any records in this system.

The Railroad Administration Passport Project (RRA PP) is unscheduled. A request for records disposition authority for RRA PP and associated records will be drafted with the assistance of the IRS Records and Information Management (RIM) Program Office. When approved by the National Archives and Records Administration (NARA), disposition instructions for RRA PP inputs, system data, outputs and system documentation will be published in IRS Document 12990 under Records Control Schedule/item number TBD. A 2-year disposition has been tentatively proposed for system data.

26. Describe how the PII data in this system is secured, including appropriate administrative and technical controls utilized.

All data is secured on the ECC-MTB mainframe (production LPAR) and cannot be accessed without the appropriate documentation (Form MIST-104) being approved by the developer's Manager and submitted to the IBM Security staff. Any access without approval will result in a RACF violation and the developer's manager will receive notification of this violation and respond accordingly.

**26a. Next, explain how the data is protected in the system at rest, in flight, or in transition.**

All data is secured on the ECC-MTB mainframe (production LPAR). No in flight or transition capabilities.

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**27. Has a risk assessment (e.g., SA&A) been conducted on the system to ensure that appropriate security controls have been identified and implemented to protect against known risks to the confidentiality, integrity and availability of the PII?** Yes

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**28. Describe the monitoring/evaluating activities undertaken on a regular basis to ensure that controls continue to work properly in safeguarding the PII.**

RACF report for all violations (no access allowed, attempts to delete or write to the files)

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**29. Is testing performed, in accordance with Internal Revenue Manual (IRM) 10.8.8 - IT Security, Live Data Protection Policy?** Yes

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**29a. Has approval been received from the Office of Privacy Compliance to use Live Data in testing (if appropriate)?** No

**29b. If you have received permission from the Office of Privacy Compliance to use Live Data, when was the approval granted?**

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**H. PRIVACY ACT & SYSTEM OF RECORDS**

Under the statute, any employee who knowingly and willfully maintains a system of records without meeting the Privacy Act notice requirements is guilty of a misdemeanor and may be fined up to \$5000.

*Authority: OMB M 03-22 & Privacy Act, 5 U.S.C. 552a (e) (4) & PVR #13-Transparency*

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**30. Are 10 or more records containing PII maintained/stored/transmitted through this system?** Yes

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**31. Are records on the system retrieved by any identifier for an individual? (Examples of identifiers include but are not limited to Name, SSN, Photograph, IP Address)** Yes

**31a. If YES, the System of Records Notice(s) (SORN) published in the Federal Register adequately describes the records as required by the Privacy Act? Enter the SORN number and the complete name of the SORN.**

**SORNS Number**

**SORNS Name**

Treas/irs 24.030 IMF

treas/irs 24046 BMF

treas/irs 42.021 special programs and project files

treas/irs 34.037 Audit Trail and Security Records System

**Comments**

**I. ANALYSIS**

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*Authority: OMB M 03-22 & PVR #21- Privacy Risk Management*

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**32. What choices were made or actions taken regarding this IT system or collection of information as a result of preparing the PIA?**

Resulted in the removal of PII from the system (e.g., SSN use reduced/eliminated)	<u>No</u>
Provided viable alternatives to the use of PII within the system	<u>No</u>
New privacy measures have been considered/implemented	<u>No</u>
Other: <u>Upcoming MRR</u>	<u>Yes</u>

**32a. If Yes to any of the above, please describe:**

Upcoming MRR

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