



DEPARTMENT OF THE TREASURY  
INTERNAL REVENUE SERVICE  
WASHINGTON, D.C. 20224

MAY 14 2003

MEMORANDUM FOR JERRY DALPIAS  
CHIEF, COMPLIANCE DEVELOPMENT BRANCH

FROM: Charlene Wright Thomas  
Acting Privacy Advocate CL:PA

*Charlene Wright Thomas*

SUBJECT: National Performance Award Program (NPAP)  
Privacy Impact Assessment (PIA)

The Office of the Privacy Advocate has reviewed the Privacy Impact Assessment for the National Performance Award Program (NPAP) application. Based on the information you provided, we do not have any privacy concerns that would preclude this system from operating. However, a revised PIA is required when considering any future upgrades or major modifications are made to the system.

We will forward a copy of the PIA to the Modernization Information Technology & Security Services Certification Program Office to be included in the Security Accreditation Package for formal acceptance for operation. The Office of Security Policy Support and Oversight, which has security oversight responsibility, may request information concerning the statements contained in the PIA to ascertain compliance with applicable requirements.

If you have any questions, please contact me at 202-927-5170 or Robert Johnson at 202-622-5438.

Attachment

Cc: Director, Security Policy Support and Oversight M:S:S  
Director, Modernization Information Technology & Security Services  
Mission Assurance, Certification Program Office M:S:A:C

April 11, 2003

MEMORANDUM FOR CHARLENE W. THOMAS  
ACTING PRIVACY ADVOCATE CL:PA

FROM: Jerry Dalpiaz, Chief, Compliance Development Branch  
M:I:B:CA:CD

SUBJECT: Request for Privacy Impact Assessment (PIA) –  
*National Performance Award Program (NPAP) NSA 196*

Purpose of the System: The National Performance Awards Agreement between the Internal Revenue Service (IRS) and the National Treasury Employees Union (NTEU) establishes policies and procedures for implementing a National Performance Awards Program (NPAP) to recognize and reward high employee performance during each Fiscal Year (FY). This application is used to ensure Performance awards covered by this Agreement shall be paid out in September of each year consistent with the provisions of the NPAP. The application receives data file inputs from Treasury Integrated Management Information System (TIMIS), completes all required calculations with zero error rate, provides data file outputs to TIMIS for payment of awards, and provides data to publishing services to print award certificates.

Name of Request Contact:

Name: Susan Howell  
Organization Name & Symbols: M:I:B:CA:IS:OU  
Mailing Address: 1973 North Rulon White Blvd M/S 6502, Ogden UT 84404  
Phone Number (with area code): 801-620-4022

Name of Business System Owner:

Name: Pam Carlson  
Organization Name & Symbols: Division Information Officer:AWSS  
Mailing Address: 5000 Ellin Rd, Lanham, MD 20706  
Phone Number (with area code): 202-927-1872

Requested Operational Date:

Category:

New System?: \_\_\_\_\_  
Recertification? (if no change, enter date of last certification) \_\_\_\_\_  
Modification of existing system?: \_\_\_Y\_\_\_

Is this a National Standard Application (NSA)?: \_Y\_\_\_\_\_

Is this a Modernization Project or System? \_\_\_\_\_

If yes, the current milestone?: \_\_\_\_\_ (Enter 1-5; explain if combining milestones)

System of Record Number(s) (SORN) #:

IRS 34.037, IRS Audit Trail and Security Records System

IRS 36.003, General Personnel and Payroll Records

Treasury .001, Treasury Payroll and Personnel System

Treasury .009, Treasury Financial Management Systems

The SORN was approved by David Silverman April 25, 2002.

Attachment: PIA

Data in the System

<p>1. Describe the information (data elements and fields) available in the system in the following categories:</p> <ul style="list-style-type: none"> <li>A. Taxpayer</li> <li>B. Employee</li> <li>C. Audit Trail Information (including employee log-in info)</li> <li>D. Other (Describe)</li> </ul>	<ul style="list-style-type: none"> <li>A. NPAP does not contain Taxpayer data.</li> <li>B. See attachment 1. Tables emp_info, audit_table, and cleans_up contain employee information. Table access_control contains the employee's ssn, full_name, and log_name.</li> <li>C. The system the application resides on collects the employee log-in information. See attachment 1. Table audit_table fields a_ssn, a_login and a_time contain the ssn, login and time of the user making a change to the record. See attachment 1. Tables pool_allocation, pool_totals, and apndx_tots contain payment information and other pool tracking items.</li> </ul>
<p>2. Describe/identify which data elements are obtained from files, databases, individuals, or any other sources.</p> <ul style="list-style-type: none"> <li>A. IRS</li> <li>B. Taxpayer</li> <li>C. Employee</li> <li>D. Other Federal Agencies (List agency)</li> <li>E. State and Local Agencies (List agency)</li> <li>F. Other third party sources (Describe)</li> </ul>	<ul style="list-style-type: none"> <li>A. See attachment 1. Tables pool_allocation, apndx_tots, and pool_totals contain data from the National Performance Awards Agreement.</li> <li>B. NPAP does not contain data collected from the Taxpayer.</li> <li>C. See attachment 1. Table audit_table fields a_login and a_time contain the login and time of the user making a change to the record. They are obtained from the employee. Table access_control contains data obtained from the employee.</li> <li>D. See attachment 1. Tables emp_info and clean_up data are downloaded from TIMIS.</li> <li>E. No State or Local Agencies provide data for NPAP.</li> <li>F. No Other third party sources provide data for NPAP.</li> </ul>
<p>3. Is each data item required for the business purpose of the system? Explain.</p>	<p>The data items are required to complete all required calculations with a zero error rate consistent with the provisions of the National Performance Awards Agreement.</p>

<p>4. How will each data item be verified for accuracy, timeliness, and completeness?</p>	<p>NPAP accepts the data downloaded from TIMIS, which has been checked for accuracy, timeliness, and completeness. All other data is manually input and verified at the time of input.</p>
<p>5. Is there another source for the data? Explain how that source is or is not used.</p>	<p>No.</p>
<p>6. Generally, how will data be retrieved by the user?</p>	<p>The data is generally retrieved by Social Security Number (SSN), Series, and Union Chapter.</p>
<p>7. Is the data retrievable by a personal identifier such as name, SSN, or other unique identifier?</p>	<p>Yes, data is retrievable by Employee Name and SSN.</p>

**Access to the Data**

<p>8. Who will have access to the data in the system (Users, Managers, System Administrators, Developers, Others)?</p>	<p>Business/functional Unit Users will have access to the data in the system. Access is granted on a need to know requirement. Access will be restricted by organization code and level of access.</p>
<p>9. How is access to the data by a user determined and by whom?</p>	<p>Only Users, with a need to know, will gain access to the data. A Form 5081, Information System User Registration/Change Request is submitted, reviewed, and the user is added. A user's access to the application is terminated when it is no longer required. Access will be restricted by organization code and level of access.</p>
<p>10. Do other IRS systems provide, receive, or share data in the system? If YES, list the system(s) and describe which data is shared. If NO, continue to Question 12.</p>	<p>No.</p>

11. Have the IRS systems described in Item 10 received an approved Security Certification and Privacy Impact Assessment?	N/A
12. Will other agencies provide, receive, or share data in any form with this system?	Yes, data is received from and provided to TIMIS.

**Administrative Controls of Data**

13. What are the procedures for eliminating the data at the end of the retention period?	Data will be maintained until December 15 <sup>th</sup> of each year to provide research for post-payout resolutions and then deleted.
14. Will this system use technology in a new way? If "YES" describe. If "NO" go to Question 15.	No.
15. Will this system be used to identify or locate individuals or groups? If so, describe the business purpose for this capability.	Yes, the system is used to identify each employee eligible for consideration of an award. The business purpose is to determine which employees will receive awards consistent with the provisions of the National Performance Awards Agreement.
16. Will this system provide the capability to monitor individuals or groups? If yes, describe the business purpose for this capability and the controls established to prevent unauthorized monitoring.	No, the system is not used to monitor individuals or groups. Data is not maintained in the system. Data is entered for award determination and then deleted.



<p>17. Can use of the system allow IRS to treat taxpayers, employees, or others, differently? Explain.</p>	<p>No. The system treats all employees who are eligible for consideration of an award equally. All awards will be calculated in the same manner consistent with the provisions of the National Performance Awards Agreement.</p> <p>The system does not contain any taxpayer data.</p>
<p>18. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action?</p>	<p>Yes. The employee rating and other data is discussed and agreed upon with the employee before being input to TIMIS. Thus, the employee is provided "due process" prior to the TIMIS download.</p>
<p>19. If the system is web-based, does it use persistent cookies or other tracking devices to identify web visitors?</p>	<p>The system is not web-based.</p>