

Alcohol and Tobacco Tax and Trade Bureau (TTB)

TracDoc

Privacy Impact Assessment

Information Collected and Purpose

TracDoc is a software application developed in-house by TTB and is used to record the receipt of tax-related documents (tax returns, operational reports and general inquiries) submitted by the public (individuals and companies). TracDoc is used to assign received documents to TTB employees for review and processing, employees scan documents and assign sequential unique identifiers for archiving and cataloging. Images of documents are uploaded from TracDoc to image retrieval systems within the TTB Integrated Revenue Information System (IRIS) such as NRC Web Retrieval or NRC Virtual File Room.

TracDoc is used to record the receipt of documents, create labels to facilitate imaging of documents, allow access to imaged documents, and assign work based on level of difficulty and personnel availability.

Images scanned by TracDoc may contain Personally Identifiable Information (PII) in the form of contact information (first name, last name, mailing address, phone numbers and email address).

For TTB employees and contractors with direct access to TracDoc, TTB also collects necessary PII to authenticate users and restrict permissions. TracDoc associates these individuals with unique user IDs and passwords.

Information Use and Sharing

Access to PII in TracDoc is limited to TTB personnel and government contractor personnel. Authorization to access TracDoc is determined by the business function to be performed by the user accessing the information. All users with access to TTB systems and data are required to successfully complete information security and privacy training. Those provided with access to the system and the data receive access based on access control standards that restrict any user's level of access to the least amount required to accomplish assigned duties.

Other agencies will not have access to the information contained within TracDoc.

Information Consent

For an individual's PII to be in TracDoc, he or she must willingly and intentionally provide their contact information when mailing inquiries and requests to TTB for processing

Information Protection

TTB will take appropriate security measures to safeguard PII and other sensitive data stored in TracDoc. TTB will apply Department of the Treasury security standards, including but not limited to routine scans and monitoring, back-up activities, and background security checks of all TTB employees and contractors.

In addition, access to TracDoc PII will be limited according to job function. TTB will control access privileges according to least privilege.

The following access safeguards will also be implemented:

- Passwords expire after a set period
- Accounts are locked after a set period of inactivity
- Minimum length of passwords is eight characters
- Passwords must be a combination of letters and numbers and symbols
- Accounts are locked after a set number of incorrect attempts