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Transmittal, are not included with these shipments and/or not prepared properly.

Isaac M. O'Bannon • Aug. 03, 2023



The IRS is not adhering to its own internal guidelines when sending large volumes of

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Centers. Twenty-two of the 31 packages did not include copies of the completed Forms 3210. Further, TIGTA conducted inspections of 40 packages with large volumes of sensitive taxpayer information that were ready for shipment from the Tax Processing Centers via private delivery carrier.

Thirty-nine of the 40 packages did not include copies of the completed Forms 3210. Further, Submission Processing Files function managers at the three Tax Processing Centers are not completing the required quarterly audits of the Forms 3210 Acknowledgment process to ensure compliance with internal guidelines.

TIGTA made five recommendations including that the Commissioner, Wage and Investment Division, should ensure that the Form 3210 is completed and included in all packages so actions can be taken to protect taxpayers when a shipment is lost; and ensure that Submission Processing Files function managers conduct quarterly audits of the Forms 3210 Acknowledgment process. Further, the Chief Privacy Officer, Privacy, Governmental Liaison, and Disclosure, should revise internal guidelines to reflect that losses associated with a business are not categorized as low risk automatically and provide notification for business data losses categorized as high risk.

The full TIGTA report can be viewed at <https://www.tigta.gov/reports/list>.

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