



Publication 1075, Section 7 Changes

**FTA/IRS Safeguard Symposium
March 31, 2008
St Louis**

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Agenda

- Safeguard Activity Report (SAR)
- Safeguard Procedures Report (SPR)
- Electronic Submission
- WinZip Procedures
- Q&A Specific to Section 7

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Safeguards Activity Report (SAR)

- Use approved template for body of SAR
 - Secure current version by emailing SafeguardReports@IRS.gov
 - Maintain as Word document ~ don't make it a PDF file
- Attachments to template
 - Dated letter on agency letterhead, signed by head of agency
 - Additional documentation
 - Copies of inspection reports (Section 7.4.2.B)
 - Ongoing tape inventory reports (Section 7.4.3)


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Safeguards Activity Report (SAR)

- Staggered submission dates
 - State Tax Agencies ~ due January 31 for previous calendar year
 - Other State Agencies (SWA, DOT) ~ due June 30 for June 1-May 31 period
 - Allows for workload leveling for Safeguards
- Timely SAR review and approval
 - Goal ~ approval within 30 days of receipt
 - Moving closer to goal but still room for improvement
 - POC for status if more than 60 days from submission
 - Local Governmental Liaison
 - SafeguardReports@IRS.gov

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Safeguards Procedures Report (SPR)

- Use approved template for SPR
 - Secure current version by emailing SafeguardReports@IRS.gov
 - Maintain as Word document ~ don't make it a PDF file
- Attachments to template
 - Dated letter on agency letterhead, signed by head of agency
 - Additional documentation


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Safeguard Procedures Report (SPR)

- When is an SPR required?
 - Prior to receiving FTI for the first time
 - Significant changes occur in process, procedure, facilities, organizational structure, IT system
 - Every six (6) years

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Safeguard Procedures Report (SPR)

- Significant changes examples
 - New data received not covered in previous SPR ~ example: QETP
 - New hardware or software
 - Centralization of IT operations to new organization
 - Changes in process/procedures

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Safeguard Procedures Report (SPR)

- Every six years ~ impact
 - Identified 175 agencies with SPRs older than six years that need to submit new SPR
 - Need to stage SPR submissions to level workload
 - Will receive notification from IRS (potentially via local Governmental Liaison) on timeframe to submit new SPR
 - Can secure new SPR template and begin building the report now

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Electronic Submission

- Submit entire SAR or SPR package to SafeguardReports@IRS.gov
 - Completed template in Word
 - Agency letter and all attachments (PDF)
- If technical difficulties encountered, email SafeguardReports@IRS.gov – we will contact you to make other arrangements but will still need the template to be electronically submitted


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WinZip Procedures

- Protects sensitive information
- Provided to agency when request current SAR or SPR template
- Requires use of standard password (comes with instructions)
- Problems? Email us and we will work with you to resolve them

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Questions?

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