

Date of Approval: 07/30/2024
Questionnaire Number: 1356

Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

Private Debt Collection Transaction Code 706 Commissionable Payment Process Automation

Acronym:

PDC TC 706

Business Unit

Small Business and Self Employed

Preparer

For Official Use Only

Subject Matter Expert

For Official Use Only

Program Manager

For Official Use Only

Designated Executive Representative

For Official Use Only

Executive Sponsor

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

The Business Objective for automation of this process is to determine if each transaction from PCA TC 706 report, after research in IDRS, if PCA will be awarded a commission payment or not, if not awarded what is the reason and update if the transaction needs further research. This automation will have the following benefits: • The total 5-year cost savings because of this reallocated time is 4160 capacity hours. • Increase accuracy of the process and reducing human error. • Elevate the level of consistency and quality of services and automate standardized business processes. • Shift time spent on labor-intensive activities to higher value-add activities. • Leverage technology as a resource to scale for increasing taxpayer demands, while reducing the cost of providing those services.

Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?

Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).

PDC TC 706 reports extracted from Business Objects contains SSN, TIN & EIN PII data which is input in IDRS to extract individual/business tax information.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Employer Identification Number

Individual Taxpayer Identification Number (ITIN)

Social Security Number (including masked or last four digits)

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

Product Information (Questions)

1.1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?

No

1.3 What type of project is this (system, project, application, database, pilot/proof of concept, power platform/visualization tool)?

System

1.35 Is there a data dictionary for this system?

No

1.36 Explain in detail how PII and SBU data flow into, through and out of this system.

Automation will copy the SSN, EIN or ITIN from PDC TC 706 reports from BOE and use them as input in the IDRS system to display tax information of the individual or business.

1.4 Is this a new system?

Yes

1.5 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this system?
No

1.9 What OneSDLC State is the system in (Allocation, Readiness, Execution)?
Execution

2.1 If this system discloses any PII to any third party outside the IRS, does the system have a process in place to account for such disclosures in compliance with IRC 6103(p)(3)(A) or Subsection c of the Privacy Act? Contact Disclosure to determine if an accounting is required. Enter "Yes" or "No". If Exempt, type "Exempt".
No

2.2 Please provide the full name of and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.
Internal Management Domain Governance Board (IMD GB)

3.1 Does your project/system involve any use of artificial intelligence (AI), including virtual assistant, chat bot, and robotic process automation, as defined in Executive Order 13960?
Yes

3.2 What is the methodology used and what database is training your AI?
There is no AI training for this project. It is a robotic process automation that uses UiPath to automatically process the business manual process for determining if the payments received are commissionable or non-commissionable for payment to PCAs.

3.3 Does this system use cloud computing?
No

3.31 Please identify the Cloud Service Provider (CSP), FedRAMP Package ID, and date of FedRAMP authorization.
No

3.6 Does this system interact with the public through a web interface?
No

3.7 Describe the business process allowing an individual to access or correct their information.
The Platform by itself does not provide these capabilities.

4.1 Who owns and operates the system (IRS Owned and Operated, IRS Owned and Contractor Operated, Contractor Owned and Operated)?

IRS Owned and Operated

4.2 If a contractor owns or operates the system, does the contractor use subcontractors?

No

4.51 How many records in the system are attributable to IRS Employees? Enter "Under 50,000", "50,000 to 100,000", "More than 100,000" or "Not Applicable".

Under 50,000

4.52 How many records in the system are attributable to contractors? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not Applicable".

Unknown

4.53 How many records in the system are attributable to members of the public? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not applicable".

More than 10,000

4.6 How is access to SBU/PII determined and by whom?

The Business owner makes the determination on who has access to SBU/PII data by the automation. The IDRS system utilizes the Business Entitlement Access Request System (BEARS) application to document approvals for access. Data access is granted on a need-to-know basis. A potential user must submit a request for access to their local management for approval. Users are not permitted access without a signed form from an authorized management official. Specific permissions (Read, Write, Modify, Delete, and/or Print) are defined on the form and set (activated) by the System Administrator prior to the user being allowed access. User privileges and user roles determine the types of data that each user has access to.

5.1 Please describe any privacy risks, civil liberties and/or security risks identified for the system that need to be resolved and what is the mitigation plan?

No privacy risks

5.11 Is there a Risk Assessment Form and Tool (RAFT) associated with this system on file with your organization or the IRS Risk Office.

No

5.2 Does this system use or plan to use SBU data in a non-production environment?

No

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Integrated Data Retrieval System (IDRS)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

Research TIN/SSN/EIN in IDRS and update 706 reports with data from IDRS & saved in SharePoint.

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

Taxpayer payment receipt is pulled from IDRS to process commission payments for the Private Collection Agency.

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

Tax Payment receipt is pulled from IDRS to make commission payment to the Private Collection Agency

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Integrated Data Retrieval System

What is the GRS/RCS Item Number?

236

What type of Records is this for?

Electronic

Please provide a brief description of the chosen GRS or RCS item.

RCS 29 item 236

What is the disposition schedule?

All data meeting end of retention period requirements will be eliminated, overwritten, degaussed, and/or destroyed in accordance with approved National Archives and Records Administration (NARA)-approved disposition authorities for the systems containing the data.

Data Locations

What type of site is this?

Shared Drive

What is the name of the Shared Drive?

BOE Cycle Reports

What is the sensitivity of the Shared Drive?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

Z:\Contract Admin\CSA Files Checklist\Contract 2\Reports\BOE
Cycle Reports

Please provide a brief description of the Shared Drive.

Retrieves input 706 data excel sheet from this Shared Drive location and saves a generated 706 updated excel sheet