

Date of Approval: 09/27/2024  
Questionnaire Number: 1414

## Basic Information/Executive Summary

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

Return Order and Delivery System - Return Starts Analysis and Group Delivery Form Automation

Acronym:

ROADS RSA/GDF Automation

Business Unit

Research Applied Analytics and Statistics

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 Small Business / Self Employed (SB/SE) Return Order and Delivery System (ROADS) Return Starts Analysis and Group Delivery Form (RSA/GDF) is an intelligent automation solution used to project new starts and the workload capacity of groups for the Exam Case Selection (ECS) team. This automation makes the current process more efficient and provides time and cost savings while also improving the current back-end infrastructure. The RSA/GDF process enables the audit process of exam cases.

## 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).

Most of the sensitive data that is used in this automation is directly provided by end users via file uploads. There is also some sensitive data that is stored securely in Mercury folders to allow for a model to run in the backend using relevant historical data on exam cases that have been worked by employees in the past or starts. This is the same data that the user uploads to the automation as well, in the same format containing the same type of information, but just for the more recent cycles. After the user runs the automation, the automation performs necessary back-end calculations and provides outputs for review. The most recent starts data is stored in the same secured Mercury folder, but all other data is released from the environment.

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

Address

Email Address

Federal Tax Information (FTI)

Individual Taxpayer Identification Number (ITIN)

Name

Other

Social Security Number (including masked or last four digits)

Please explain the other type(s) of PII that this project uses.

Employee ID and Name

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

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

PII for personnel administration - 5 USC

SSN for tax returns and return information - IRC section 6109

## 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)?

Pilot

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.

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1.4 Is this a new system?

Yes

2.2 Please provide the full name of and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.

Data and Analytics Advisory Group (DAAG)

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?

No

3.2 What is the methodology used and what database is training your AI?

Automation does not use Artificial Intelligence

3.3 Does this system use cloud computing?

No

3.6 Does this system interact with the public through a web interface?

No

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

IRS Owned and Contractor Operated

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

Yes

4.3 What PII/SBU data does the subcontractor have access to?

All necessary PII/SBU used to run the automation, including exam case and employee information (Name, Employee ID). This information is used to develop a forecasting model based on historical data on exam cases that have been started by employees. It is also used to test the automation and perform maintenance.

4.5 Identify the roles and their access level to the PII data. For contractors, indicate whether their background investigation is complete or not.

IRS Employees Roles:

Users (Read and Write), Managers (Administrator)

Contractor Roles:

Developers (Administrator) with completed background investigations

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; Note: This data was sourced from the users. However, it is stored in a secure folder on the server in the backend and it is not available to end users to access through the automation. The data is only used to perform backend calculations.

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”.

Not Applicable

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; Note: This data was sourced from the users. However, it is stored in a secure folder on the server in the backend and it is not available to end users to access through the automation. The data is only used to perform backend calculations.

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

There is no new SBU/PII data that employees are being given access to that they didn't already have access to. SBU/PII access is determined by managers on a need-to-know basis to perform job requirements. The automation is making current processes more efficient but not changing the level of access required by employees. The automation does not provide access to any PII information to end users. End users are required to upload multiple data files in predetermined formats to successfully run the automation and produce desired outputs.

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?

Yes

5.3 Please upload the Approved Email and one of the following SBU Data Use Forms, Questionnaire (F14664) or Request(F14665) or the approved Recertification (F14659). Select Yes to indicate that you will upload the Approval email and one of the SBU Data Use forms.

Yes

## Interfaces

### **Interface Type**

IRS Systems, file, or database

Agency Name

RA & TCO New Starts Date, Employee Adjustments, Case Sorting  
Utility, GM/TM Data

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

End users upload the four listed files to the automation

### **Interface Type**

IRS or Treasury Contractor

Agency Name

IRS SBSE ECS Employees

Incoming/Outgoing

Both

Transfer Method

Other

Other Transfer Method

ECS Employees upload necessary data files to the automation and download outputs of the automation

# Systems of Records Notices (SORNs)

## **SORN Number & Name**

IRS 42.021 - Compliance Programs and Projects Files

Describe the IRS use and relevance of this SORN.

SBU/PII data is uploaded by IRS employees with permissions to access such SBU/PII data to the automation to perform calculations in the backend and produce output files

## **SORN Number & Name**

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

Logging is implemented in the system to ensure appropriate measures are put in place to identify the who, what, where, and when data is being accessed.

# Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

General Records Schedule (GRS) 3.1 for General Technology Management Records

What is the GRS/RCS Item Number?

Item 020

What type of Records is this for?

Electronic

What is the disposition schedule?

Audit and user logs are scheduled under General Records Schedule (GRS) 3.1 for General Technology Management Records, Item 020. IRS System Technology audit logs are maintained per IRM 5.1.25.6 in the Security Audit and Analysis System (SAAS). Audit Logs will be erased or purged from the SAAS at the conclusion of their retention period(s) as required under IRM 1.15.6. The method used for sanitization will follow NIST SP 800-88 guidelines. These will not be stored in the automation, but a sequel data base.