

Date of Approval: **October 21, 2022**

PIA ID Number: **7263**

SYSTEM DESCRIPTION

Enter the full name and acronym for the system, project, application and/or database.

Robotics Process Automation Transcript Case Building, RPA Transcript Case Build

Is this a new system?

Yes

What governance board or Executive Steering Committee (ESC) does this system report to? Full name and acronym.

Internal Management Domain (IMD) Governance Board

Current ELC (Enterprise Life Cycle) Milestones:

Domain Architecture/Milestone 2

System Development/Milestone 4B

Is this a Federal Information Security Management Act (FISMA) reportable system?

No

GENERAL BUSINESS PURPOSE

What is the general business purpose of this system? Provide a clear, concise description of the system, application or database, the reason for the system, and the benefits to the IRS to use the information, and how the information will be used.

The RPA program is creating an automation using UiPath to replicate the Transcript Case Building process. This tool is pulling individual transcripts by identifier. The automated solution will require an input spreadsheet on the User's computer with cases that will be run by the attended automation. Once the case is established, the attending employee (either from Exam Case Selection or an Examiner) will run the automation on the selected set of command codes. For this release, the automation will only run the following Command Codes: AMDISA, BMFOL-T, BMFOL-R, CFINK, IMFOL-T, INOLES, TRDBV and TXMODA. The automation will print the Integrated Data Retrieval System (IDRS) transcripts for each command code to PDF and save them to a folder on the user's workstation that has been created for this case. The automation will then batch upload of all these files to Landing Zone, which is picked up hourly if there are no issues and moved to Case Built File (CBF). Landing Zone access is obtained through Business Entitlement Access Request Systems (BEARS) request.

PII DETAILS

Does the system use, collect, receive, display, store, maintain, or disseminate IR Code 6103 taxpayer information: or any other type of Sensitive but Unclassified (SBU) information or PII such as information about IRS employees or outside stakeholders?

Yes

Does the system use, collect, receive, display, store, maintain, or disseminate Social Security Numbers (SSN's) or tax identification numbers (i.e., last 4 digits, etc.)?

Yes

What types of tax identification numbers (TIN) apply to this system?

Social Security Number (SSN)

List the approved Treasury uses of the SSN:

Legal/statutory basis (e.g., where collection is expressly required by statute)

When there is no reasonable alternative means for meeting business requirements

Law enforcement and intelligence purposes

Explain why the authorized use(s) above support the new or continued use of SSNs (or tax identification numbers).

IDRS system uses SSN and Tax ID Numbers as the organizing identification tool for taxpayer record. RPA Transcript Case Build requires the use of SSN's because no other identifier can be used to uniquely identify a taxpayer. SSNs are permissible from Internal Revenue Code (IRC) 6109, which requires individual taxpayers to include their SSNs on their income tax returns.

Describe the planned mitigation strategy and forecasted implementation date to mitigate or eliminate the use of SSN's (or tax identification numbers).

The Office of Management and Budget Circular A-130 requires that federal agencies develop a mitigation or elimination strategy for systems that use SSNs, which the Service continues to develop strategies to meet. An exception to that requirement is when the SSN is uniquely needed to identify a user's record. RPA Transcript Case Build requires the use of SSN's because no other identifier can be used to uniquely identify a taxpayer at this time.

Employer Identification Number

Other Taxpayer Identification Number

Does this system use, collect, receive, display, store, maintain or disseminate other (non-SSN) PII (i.e., names, addresses, etc.)?

Yes

Specify the PII Elements:

Name
Mailing Address
Phone Numbers
Financial Account Numbers
Date of Birth
Standard Employee Identifier (SEID)
Employment Information
Tax Account Information
Centralized Authorization File (CAF)

Does this system use, collect, receive, display, store, maintain, or disseminate SBU information that is not PII?

Yes

Specify the types of SBU from the SBU Types List:

Agency Sensitive Information Information which if improperly used or disclosed could adversely affect the ability of the agency to accomplish its mission.

Official Use Only (OUO) or Limited Official Use (LOU) Information designated as OUO, or LOU is information that: is exempt under one of the statutory Freedom of Information Act exemptions; is prohibited by other laws or regulations; would significantly impede the agency in carrying out a responsibility or function; or would constitute an unwarranted invasion of privacy.

Protected Information Information which if modified, destroyed, or disclosed in an unauthorized manner could cause loss of life, loss of property or funds by unlawful means, violation of personal privacy or civil rights, gaining of an unfair procurement advantage by contractors bidding on government contracts, or disclosure of proprietary information entrusted to the Government.

Criminal Investigation Information Information concerning IRS criminal investigations or the agents conducting the investigations.

Are there other types of SBU/PII used in the system?

Yes

Describe the other types of SBU/PII that are applicable to this system.

Transaction codes and case selection information such as DIF Scores.

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

PII for federal tax administration is generally Internal Revenue Code Sections 6001, 6011, & 6012e(a)

SSN for tax returns and return information is Internal Revenue Code Section 6109

Has the authority been verified with the system owner?

Yes

BUSINESS NEEDS AND ACCURACY

Explain the detailed business needs and uses for the SBU/ PII, and how the SBU / PII is limited only to that which is relevant and necessary to meet the mission requirements of the system. If SSNs (or tax identification numbers) are used, explicitly explain why use of SSNs meets this criteria. Be specific.

IRM 2.3.2.1.1 described the primary objective of the Integrated Data Retrieval System: The Integrated Data Retrieval System is designed primarily to accomplish the following: a. Provide better, faster, more responsive, and personal service to the taxpayer. b. Facilitate and speed up the work of employees in Campuses and Area Offices providing the most current information on tax accounts, and by furnishing the most-up-to date data processing tools available today. Currently, Estate and Gift Tax examiners routinely obtain nine transcripts at various stages of the examination. Transcripts are pulled from the ADMISA, BMFOL-T, BMFOL-R, CFINK, MFTRA-C, TXMODA, INOLES, IMFOL-T, and TRDBV. The data obtained from these transcript prints ensure the taxpayers substantial compliance and are used by examiners to research historic returns, to perform filing checks, verify address and power of attorney information and accurate tax computations. Tax Identification Numbers (including SSNs) are a required data point for obtaining these transcripts. This RPA project seeks to automate batched pulls and secure delivery of eight of these nine transcripts. There are hundreds of available IDRS research modules. Estate and Gift Examination conducts narrow taxpayer account research to target the specific needs of Form 709 and Form 706 examination and perform required preliminary income tax filing checks to ensure taxpayer compliance.

How is the SBU/PII verified for accuracy, timeliness, and completion?

The SBU/PII is delivered to the user based on case assignments through IDRS-ERCS. The information comes to the examiner through their group manager and is based upon inventory assignments. IDRS-AIMS and IDRS-ERCS updated daily and weekly.

PRIVACY ACT AND SYSTEM OF RECORDS

The Privacy Act requires Federal agencies that maintain a system of records to publish systems of records notices (SORNs) in the Federal Register for records from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence. The Privacy Act also provides for criminal penalties for intentional noncompliance.

Does your application or this PCLIA system pertain to a group of any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.

Yes

Identify the Privacy Act SORN(s) that cover these records.

IRS 24.030 Customer Account Data Engine Individual Master File

IRS 24.046 Customer Account Data Engine Business Master File

RESPONSIBLE PARTIES

Identify the individuals for the following system roles:

Official Use Only

INCOMING PII INTERFACES

Does the system receive SBU/PII from other systems or agencies?

Yes

Does the system receive SBU/PII from IRS files and databases?

Yes

Enter the files and databases:

System Name: Integrated Data Retrieval System (IDRS)

Current PCLIA: Yes

Approval Date: 10/26/2021

SA&A: Yes

ATO/IATO Date: 10/14/2021

Does the system receive SBU/PII from other federal agency or agencies?

No

Does the system receive SBU/PII from State or local agency (-ies)?

No

Does the system receive SBU/PII from other sources?

No

Does the system receive SBU/PII from Taxpayer forms?

Yes

Please identify the form number and name:

Form Number: 706

Form Name: United State Estate (and Generation-Skipping Transfer) Tax Return

Form Number: 709

Form Name: United States Gift (and Generation-Skipping Transfer) Tax Return

Form Number: 843

Form Name: Claim for Refund and Request for Abatement

Form Number: 911

Form Name: Request for Taxpayer Advocate Service Assistance (And Application for Taxpayer)

Form Number: 911 (sp)

Form Name: Request for Taxpayer Advocate Service Assistance (And Application for Taxpayer) (Spanish Version)

Form Number: 1040

Form Name: U.S. Individual Income Tax Return

Form Number: 1040 (pr)

Form Name: Federal Self-Employment Contribution Statement for Residents of Puerto Rico

Form Number: 1040 (sp)

Form Name: U.S. Individual Income Tax Return (Spanish Version)

Form Number: 1040-C

Form Name: U.S. Departing Alien Income Tax Return

Form Number: 1040-NR

Form Name: U.S. Nonresident Alien Income Tax Return

Form Number: 1040-NR (sp)
Form Name: U.S. Nonresident Alien Income Tax Return (Spanish Version)

Form Number: 1040-SR
Form Name: U.S. Tax Return for Seniors

Form Number: 1040-SR (sp)
Form Name: U.S. Tax Return for Seniors (Spanish Version)

Form Number: 1040-SS
Form Name: U.S. Self-Employment Tax Return (Including the Additional Child Tax Credit for Bona Fide Residents)

Form Number: 1040-X
Form Name: Amended U.S. Individual Income Tax Return

Form Number: 1041
Form Name: U.S. Income Tax Return for Estates and Trusts

Form Number: 1042
Form Name: Annual Withholding Tax Return for U.S. Source Income of Foreign Persons

Form Number: 1045
Form Name: Application for Tentative Refund

Form Number: 8302
Form Name: Direct Deposit of Tax Refund of \$1 Million or More

Does the system receive SBU/PII from Employee forms (e.g., the I-9)?

No

DISSEMINATION OF PII

Does this system disseminate SBU/PII?

Yes

Does this system disseminate SBU/PII to other IRS Systems?

Yes

Identify the full name and acronym of the IRS system(s) that receive SBU/PII from this system.

System Name: Large Business and International Workload Identifi
Current PCLIA: Yes
Approval Date: 9/22/2021
SA&A: Yes
ATO/IATO Date: 4/10/2020

Identify the authority.

PII for personnel administration is 5 USC 01, 1302, 2951, 4118, 4308, 4506 and Executive Orders 9397 and 10561 and IRC 6103.

For what purpose?

examination/tax compliance

Does this system disseminate SBU/PII to other Federal agencies?

No

Does this system disseminate SBU/PII to State and local agencies?

No

Does this system disseminate SBU/PII to IRS or Treasury contractors?

No

Does this system disseminate SBU/PII to other Sources?

No

PRIVACY SENSITIVE TECHNOLOGY

Does this system use social media channels?

No

Does this system use privacy-sensitive technologies such as mobile, global position system (GPS), biometrics, RFID, etc.?

Yes

Briefly explain how the system uses the referenced technology.

The system performs tasks that humans carry out and will have access to privacy sensitive information such as SBU/PII.

Does the system use cloud computing?

No

Does this system/application interact with the public?

No

INDIVIDUAL NOTICE AND CONSENT

Was/is notice provided to the individual prior to collection of information?

Yes

How is notice provided? Was the individual notified about the authority to collect the information, whether disclosure is mandatory or voluntary, the purpose for which the information will be used, with whom the information may be shared, and the effects on the individual, if any, if they decide not to provide all or any of the requested information?

This is based on the taxpayers filing. Notice, consent, and due process are provided in the tax forms instructions filed by the taxpayer, and pursuant to 5 USC.

Do individuals have the opportunity to decline from providing information and/or from consenting to particular uses of the information?

No

Why not?

Tax information is required to be provided.

How does the system or business process ensure 'due process' regarding information access, correction, and redress?

Notice, consent, and due process are provided in the tax forms instructions filed by the taxpayer, and pursuant to 5 USC.

INFORMATION PROTECTION

Identify the owner and operator of the system (could be IRS owned and operated; IRS owned, contractor operated; contractor owned and operated).

IRS Owned and Operated

The following people have access to the system with the specified rights:

IRS Employees

Users: Read Only

Managers: Read Only

System Administrators: Read Only

Developers: Administrator

IRS Contractor Employees

Contractor Developers: Administrator

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

Based on case assignment. Employees have to request access through Business Entitlement Access Request Systems (BEARS), which must be approved by their manager.

RECORDS RETENTION SCHEDULE

Are these records covered under a General Records Schedule (GRS, IRS Document 12829), or has the National Archives and Records Administration (NARA) approved a Records Control Schedule (RCS, IRS Document 12990) for the retention and destruction of official agency records stored in this system?

Yes

How long are the records required to be held under the corresponding GRS or RCS, and how are they disposed of? In your response, please provide the GRS or RCS chapter number, the specific item number, and records series title.

Records are required to be held for 75 years. Document 12990, RCS 29 Item 61 (estate cases), Document 12290, RCS 29 Item 62 (gift cases and generation-skipping transfer tax cases). Documents are destroyed after 75 years. DAA-0058-2021-0005.

SA&A OR ASCA

Has the system been through SA&A (Security Assessment and Authorization) or ASCA (Annual Security Control Assessment)?

No

Is the system secured in accordance with all applicable federal, treasury, and IRS security policy, procedures, and requirements?

Yes

Describe the system's audit trail.

System's audit trail can be found through postings of the tax information on IDRS/master file. RPA Transcript Case Build is following the appropriate audit trail elements pursuant to current Audit Logging Security Standards.

PRIVACY TESTING

Does the system require a System Test Plan?

Yes

Is the test plan completed?

No

When is the test plan scheduled for completion?

10/7/2022

Describe what testing and validation activities have been conducted or are in progress to verify and validate that the applicable Privacy Requirements (listed in header) have been met?

A System Test Plan and other Enterprise Lifecycle (ELC) artifacts are currently being worked with IT. UAT (User Acceptance Testing) testing of the system will be used to verify the security policies to manage access to the system and that the Bot follows the appropriate steps.

SBU DATA USE

Does this system use, or plan to use SBU Data in Testing?

No

NUMBER AND CATEGORY OF PII RECORDS

Identify the number of individual records in the system for each category:

IRS Employees: Under 50,000

Contractors: Under 5,000

Members of the Public: 100,000 to 1,000,000

Other: No

CIVIL LIBERTIES

Does the system maintain any information describing how any individual exercises their rights guaranteed by the First Amendment?

No

Is the system information used to conduct 'data-mining' as defined in the Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53, Section 804?

No

Will this system have the capability to identify, locate, and monitor individuals or groups of people?

No

Does computer matching occur?

No

ACCOUNTING OF DISCLOSURES

Does the system include or require disclosure of tax or employee information to anyone other than IRS employees in the performance of their duties, or to the person to whom the information pertains or to a 3rd party pursuant to a Power of Attorney, tax, or Privacy Act consent?

No