

Date of Approval: 06/18/2024

Questionnaire Number: 1225

Basic Information/Executive Summary

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

RPO Compliance Automation

Business Unit

Return Preparer Office

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.

This project seeks to automate preliminary research tasks required for the Return Preparer Office to obtain information on return preparers and businesses regarding PTIN and Tax Compliance and tax preparation activity. The business objectives and benefits expected by the RPO Compliance business process team after automation are:

- Automate data extraction in multiple systems to reduce time to complete manual preliminary research tasks
- Increased Time efficiency and accuracy
- Improved Research capabilities leading to increased case production/capacity
- Improved Customer Service

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).

RPO Analysts navigate to multiple applications (Return Preparer Database, Ghost Locator Database, IDRS, EUP) to conduct preliminary research on Return Preparers regarding PTIN and Tax Compliance and tax preparation activity. While completing this research, RPO Analysts collect relevant Return Preparer information using built in system report generation where applicable and saving data to user's local file. The automation of this process will not leverage any SME's credentials as this automation will only pull/store data in user's local machine. At this point the automation has been completed. Any dissemination or destruction of the data is executed manually by the user.

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

Employer Identification Number

Employment Information

Name

Preparer Taxpayer Identification Number (PTIN)

Social Security Number (including masked or last four digits)

Telephone Numbers

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

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

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)?

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.

At the start of this automation, PII input criteria will be entered by user to identify required data/reports to extract. The automation will then navigate to required screens to extract information. As this is an attended automation that uses the user's workstation/login information, the PII data inputs and extracted information are stored on the user's workstation from start to finish.

1.4 Is this a new system?

Yes

1.8 If the system is on the As-Built-Architecture, what is the ABA ID of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID for each application covered separated by a comma.

Robotic Process Automation (RPA); ABA ID: 211414

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

Execution

1.95 If this system has a parent system, what is the PCLIA Number of the parent system?

8166

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.

IMD GB - Internal Management Domain Governance Board

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?

This is a robotic process automation that does not use any AI capabilities that require training. This is an attended automation that uses a user's credentials/workstation to follow and replicate a pre-defined set of steps that a human user would normally complete.

3.3 Does this system use cloud computing?

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.

This automation will be used to extract reports based on input criteria. There is no option to change/correct any information outside of re-running the automation with new input criteria.

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

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

The following people have access to this application - IRS Authorized Users (Read & Write), Contractors Authorized to execute the application (Read & Write) IRS Authorized users include RPO Analysts responsible for conducting preliminary research required for Compliance business Process. Authorized Contractors must have MBI Clearances and SBU IDRS SBU Data Use Forms outlining completion of required trainings (UNAX, Privacy, Cybersecurity, etc.) completed and signed.

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".

No 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

4.54 If records are attributable to a category not mentioned above in 4.51 through 4.53, please identify the category and the number of corresponding records to the nearest 10,000. If none, enter "Not Applicable".

Not Applicable

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 utilized by the automation.

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?

None

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

Employee User Portal

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

Integrated Data Retrieval System

Incoming/Outgoing

Both

Transfer Method

Other

Other Transfer Method

Leveraging API based infoconnect communication to extract data from IDRS Screens.

Interface Type

IRS Systems, file, or database

Agency Name

Ghost Locator Database

Incoming/Outgoing

Both

Transfer Method

Other

Other Transfer Method

Screen scraping from MS Access DB and inputs data into PDF file that is stored locally on user's pc.

Interface Type

IRS Systems, file, or database

Agency Name

Return Preparer Database

Incoming/Outgoing

Both

Transfer Method

Other

Other Transfer Method

Screen scraping from MS Access DB and inputs data into PDF file that is stored locally on user's pc.

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

To Identify and track any unauthorized accesses to sensitive and classified information and potential breaches

SORN Number & Name

IRS 37.111 - Preparer Tax Identification Number Records

Describe the IRS use and relevance of this SORN.

Taxpayers Information is pulled from multiple systems (IDRS, GLD, RPD, EUP) to identify PTIN misuse and verify Return Preparer Compliance Information.

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

Taxpayers Information is pulled from multiple systems (IDRS, GLD, RPD, EUP) to identify PTIN misuse and verify Return Preparer Compliance Information.

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

Taxpayers Information is pulled from multiple systems (IDRS, GLD, RPD, EUP) to identify PTIN misuse and verify Return Preparer Compliance Information.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Integrated Data Retrieval System IDRS

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, an/or destroyed in accordance with approved National Archives and Records Administration (NARA)-approved disposition authorities for the systems containing the data.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

IRS TAX PRACTITIONER ENROLLMENT, PROFESSIONAL RESPONSIBILITY, AND AGENT PRACTICES

What is the GRS/RCS Item Number?

16

What type of Records is this for?

Electronic

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

RCS 11 Item 16

What is the disposition schedule?

Cutoff at end of processing year in which case is closed. Transfer to off-site storage when no longer necessary. Destroy 7 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

IRS TAX PRACTITIONER ENROLLMENT, PROFESSIONAL RESPONSIBILITY, AND AGENT PRACTICES

What is the GRS/RCS Item Number?

15

What type of Records is this for?

Electronic

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

RCOS 11 Item 15

What is the disposition schedule?

Cutoff at end of processing year in which case is closed. Transfer to off-site storage when no longer necessary. Destroy 7 years after cutoff.