

Date of Approval: 10/31/2024
Questionnaire Number: 1644

Basic Information/Executive Summary

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

Form 3870 Population

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.

This PCLIA covers the automation of Form 3870 Form Population. This RPA is an attended automation that will extract data from Form 14104 and use that data to populate Form 3870. This automation will be owned by SB/SE Field Exam, Technical Services Legacy - Criminal Restitution. The attended automation will run on the user's assigned laptops. This is part of the Robotics Process Automation (RPA) initiative for SB/SE Exam with the goal of streamlining Form 3870 population while minimizing posting errors, providing quicker assessment postings and accrue less interest on the criminal restitution assessment. There are no new processes being developed by the group for this automation. The automation will only serve as a tool for the examiner to use for populating Form 3870 in a more expedient and accurate manner. This automation does not interact with any systems for data extraction. All data is extracted from a completed Form 14104 on the user's desktop. This information contains PII, but the automation does not store any PII. The populated forms will be stored and maintained in

accordance with existing policies for the criminal restitution group. Only the laptop owner will have access to the data on the Forms 14104 and 3870.

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).

This RPA is an attended automation that will extract data from Form 14104 and use that data to populate Form 3870.

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

Address

Document Locator Number (DLN)

Employer Identification Number

Federal Tax Information (FTI)

Individual Taxpayer Identification Number (ITIN)

Name

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

Tax ID Number

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

PII for personnel administration - 5 USC

SSN for tax returns and return information - IRC section 6109

Product Information (Questions)

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

No

2 Describe in detail, the Robotic Process Automation (RPA) process; be sure to identify the project title and business unit owner; state what IRS Strategy or initiative it supports; identify the system or process it supports and if PII will be required for the RPA to run; identify activities and workflow controls with the type and capabilities that will be

incorporated; lastly indicate how the service benefits from the use of this RPA. (Process, Library, Test Automation, Template.)

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3 Is this a new Robotic Process Automation (RPA) project?

Yes

4 Identify the IRS IT systems, applications, projects, and/or databases this RPA is applied to; include the associated system name.

Excel and Adobe

5 Identify why the use of SBU/PII/FTI is required; include any type of Sensitive But Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI) that this project will create, collect, receive, use, process, maintain, access, inspect, display, store, disclose, disseminate, or dispose of.

The project will extract PII from a user prepared Form 14104 and paste that data into a blank Form 3870. The data is not stored in the automation itself but rather is designed to copy and paste from one form to the other.

6 Is your RPA Attended/Unattended?

Attended

7 Is this RPA process converting from paper to electronic format or automating a process currently performed by a human?

Yes

7.1 Explain the process being replaced/automated.

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Technical Services Legacy - Criminal Restitution. The attended automation will run on the user's assigned laptops. This is part of the Robotics Process Automation (RPA) initiative for SB/SE Exam with the goal of streamlining Form 3870 population while minimizing posting errors, providing quicker assessment postings and accrue less interest on the criminal restitution assessment. There are no new processes being developed by the group for this automation. The automation will only serve as a tool for the examiner to use for populating Form 3870 in a more expedient and accurate manner. This automation does not interact with any systems for data extraction. All data is extracted from a completed Form 14104 on the user's desktop. This information contains PII but the automation does not store any PII. The populated forms will be stored and maintained in accordance with existing policies for the criminal restitution group. Only the laptop owner will have access to the data on the Forms 14104 and 3870.

8 Indicate what level of complexity the RPA is classified as and if you were required to register with OneSDLC or not or indicate if Information Technology's (ITs) Technical Insertion process was used for approval of this RPA.

This RPA was classified as "low" for complexity. The project is registered with OneSDLC and was approved through the IT's process and the Governance Board.

9 Will connections or interdependencies be established for this RPA?

No

10 Indicate who has or will have permission to access the data and how users are authenticated.

Criminal Restitution Revenue Agents have access to their laptops which has the previously prepared Forms 14104. Users are authenticated when they are required to log into their government-issued laptops.

11 Indicate if BEARS entitlements are required for access and if PUMAS (Privileged User Management Access System) control management is applied for granting access to the system(s)? If BEARS/PUMAS are not applied, indicate what access controls are in place.

BEARS entitlements are needed by the user to get UiPath to use the automation.

12 Identify the maintenance tasks or updates performed; state whether or not the maintenance tasks are inherited from the host (UiPath Platform) or you are using customized maintenance activities.

Maintenance tasks will need to be completed if the forms change.

13 Indicate if this product or system shares data outside of the United States or its territories.

No

14 Indicate if this system or Robotic Process Automation (RPA) is trained through the use algorithms; indicate if the algorithm used contains data with a sensitivity classification. (Sensitive but unclassified data might include algorithms, methods, system data, or PII/FTI that could be used to re-identify a person.)

No

15 Describe this system's (RPAs) audit trail process in detail; include location of supporting documents (SPLUNK). Note: Upload of this document is required.

The automation tracks how many forms were populated as well as the date and time.

Interfaces

Interface Type

Forms

Agency Name

Form 3870

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Other

Other Transfer Method

The automation copies data from a user prepared form 14104 and pastes that data into specific fields on form 3870. The automation does not send or receive data to/from other sources.

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

This RPA is an attended automation that will extract data from Form 14104 and use that data to populate Form 3870. BEARS entitlements are needed by the user to get UiPath to use the automation and users are authenticated when they are required to log into their government-issued laptops.

SORN Number & Name

IRS 42.001 - Examination Administrative Files

Describe the IRS use and relevance of this SORN.

This RPA is an attended automation that will extract data from Form 14104 and use that data to populate Form 3870. This

automation will be owned by SB/SE Field Exam, Technical Services Legacy - Criminal Restitution.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Document 12829, Intermediary Records

What is the GRS/RCS Item Number?

GRS 5.2 Item 020

What type of Records is this for?

Electronic

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

Records that meet the following conditions: They exist for the sole purpose of creating a subsequent record and they are not required to meet legal or fiscal obligations, or initiate, sustain, evaluate, or provide evidence of decision making.

What is the disposition schedule?

Destroy upon creation or update of the final record, or when no longer needed for business use, whichever is later.

Data Locations

What type of site is this?

OneDrive

What is the name of the OneDrive?

https://irs.gov-my.sharepoint.com/personal/SEID_ds_irsnet_gov/_layouts/15/onedrive.aspx

What is the sensitivity of the OneDrive?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the OneDrive.

This automation does not access data on any site or drive. The form 14104 is saved to the user's desktop where the automation will extract the data and paste it into the form 3870.

What are the incoming connections to this OneDrive?

Users manually saved to the OneDrive.