

Date of Approval: 02/03/2025
Questionnaire Number: 1885

Basic Information/Executive Summary

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

Enterprise Case Management Return Preparer Office

Acronym:

ECM RPO

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 Privacy and Civil Liberties Impact Assessment (PCLIA) will cover the Enterprise Case Management Return Preparer Office (ECM RPO) system. The ECM RPO system tracks, manages, and reports information relative to individuals seeking to become Enrolled Agents (EA), Enrolled Actuaries (EAc), and Enrolled Retirement Plan Agents (ERPA). The system tracks progress to becoming an EA or EAc and maintains testing and tracking data associated with the progress of EPRA renewal applications. The system provides status on the licensing of applicants as practitioners to represent taxpayers in a variety of matters. Enrolled Agents are the only practitioners that are mandated by Circular 230 to have a Preparer Tax Identification Number (PTIN), which the system uses for Enrolled Agent data tracking. Enrolled Retirement Plan Agents and Actuaries are not required to have PTIN, so the Social Security Number (SSN) is used in the

system. The system uses PTIN (not the Tax Identification Number (TIN)) for enrolled agent data tracking.

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).

The ECM RPO application lifecycle begins with intake and case creation, followed by assigning and managing work, then working cases (processing stages), and ending with case closure. During intake, PII/FTI is collected, validated, augmented from IRS sources and Pay.gov to create cases. In the processing stages, PII/FTI is used to manage inventory, assign and reassign cases, record activities, generate requests for information, letters and generate certificates. In the closure stage, PII/FTI is used to close cases. Throughout the lifecycle, PII/FTI is securely accessed, updated, and retained. This PII data is used to identify EA, EAe and ERPA practitioner data for use with enrollment and renewals applications. and to make adjustments or changes to a practitioner records. All SBU/PII is used to support case inventory control, inventory monitoring (i.e., by group and case worker), as well as reporting functions. ECM maintains inventory of cases being resolved for the IRS. No data is redundant or unnecessary.

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

Address

Agency Sensitive Information

Centralized Authorization File (CAF)

Criminal Investigation Information

Criminal Record

Education Information

Email Address

Employer Identification Number

Employment Information

Federal Tax Information (FTI)

Financial Account Number

Individual Taxpayer Identification Number (ITIN)

Name

Non-Tax Proprietary data

Preparer Taxpayer Identification Number (PTIN)

Professional License Number
Protected Information
Social Security Number (including masked or last four digits)
Standard Employee Identifier (SEID)
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 personnel administration IRS employees - 5 USC and Executive Order
9397

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

System

3 What Tier designation has been applied to your system?

4

4 Is this a new system?

No

4.1 Is there a previous Privacy and Civil Liberties Impact Assessment (PCLIA) for this project?

Yes

4.11 What is the previous PCLIA number?

1364

4.12 What is the previous PCLIA title (system name)?

ECM_RPO

4.2 You have indicated this is not a new system; explain what has or will change and why. (Expiring PCLIA, changes to the PII or use of the PII, etc.)

ECM RPO and e-Trak RPO/Practitioner are 2 different systems using different software product and infrastructure. e-Trak Practitioner/RPO is migrating to ECM RPO. The ECM RPO go-live date is October 28,2024. When the migration is done, e-Trak Practitioner/RPO (PCLIA #8316) will be retired and decommissioned from e-Trak boundary/portfolio.

5 Is this system considered a child system/application to another (parent) system?

No

6 Indicate what OneSDLC State is the system in (Allocation, Readiness, Execution) or indicate if you go through Information Technology's (IT) Technical Insertion Process and what stage you have progressed to.

Execution

7 Is this a change resulting from the OneSDLC process?

No

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

Enterprise Case Management (ECM) Governance Board and the Strategic Development Executive Steering Committee (SD ESC)

9 If the system is on the As-Built-Architecture (ABA), what is the ABA ID number of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID number(s) for each application covered separated by a comma. If the system is not in the ABA, then contact the ABA (<https://ea.web.irs.gov/aba/index.html>) for assistance.

211232

10 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?

No

10.1 You have indicated that you do not have an "accounting of disclosures" process in place; please indicate a projected completion date or explain the steps taken to develop your accounting of disclosures process. Note: The Office of Disclosure should be contacted to develop this system's accounting of disclosures process.

Not Applicable

11 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 and 14110?

No

12 Does this system use cloud computing?

Yes

12.1 Please identify the Cloud Service Provider (CSP), FedRAMP Package ID, and date of FedRAMP authorization.

AWS GovCloud, F1603047866, 06/21/2016.

12.2 Does the CSP allow auditing?

Yes

12.21 Who has access to the CSP audit data (IRS or 3rd party)?

IRS

12.3 Please indicate the background check level required for the CSP (None, Low, Moderate or High).

High

13 Does this system/application interact with the public?

No

14 Describe the business process allowing an individual to access or correct their information. (Due Process)

Notice, consent, and due process are provided in the form/instructions filed by the applicant and pursuant to 5 USC.

15 Is this system owned and/or operated by a contractor?

No

16 Identify what role(s) the IRS and/or the contractor(s) performs; indicate what access level (to this system's PII data) each role is entitled to. (Include details about completion status and level of access of the contractor's background investigation was approved for.)

IRS Employees - Users, Read and Write

Managers - Read and Write

17 The Privacy Act of 1974 (5 USC § 552a(e)(3)) requires each agency that maintains a system of records, to inform each individual requested to supply information about himself or herself. Please provide the Privacy Act Statement presented by your system or indicate a Privacy Act Statement is not used and individuals are not given the opportunity to consent to the collection of their PII.

THIS U.S. GOVERNMENT SYSTEM IS FOR AUTHORIZED USE ONLY!

Use of this system constitutes consent to monitoring, interception, recording, reading, copying or capturing by authorized personnel of all activities. There is no right to privacy in this system. Unauthorized use of this system is prohibited and subject to criminal and civil penalties, including all penalties applicable to willful unauthorized access (UNAX) or inspection of taxpayer records (under 18 U.S.C. 1030 and 26 U.S.C. 7213A and 26 U.S.C. 7431).

18 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".

Not applicable

19 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

20 How many records in the system are attributable to members of the public? Enter "Under 100,000", "100,000 to 1,000,000", "More than 1,000,000" or "Not applicable".

100,000 to 1,000,000

21 Identify any "other" records categories not attributable to the categories listed above; identify the category and the number of corresponding records, to the nearest 10,000; if no other categories exist, enter "Not Applicable".

Not Applicable

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

Access to SBU/PII is determined by the roles of the employee and maintained through BEARS (Business Entitlement Access Request System), which is approved by managers and system administrators. Access in ECM RPO is based on hierarchy, roles and permissions.

23 Is there a data dictionary on file for this system? Note: Selecting "Yes" indicates an upload to the Attachment Section is required.

Yes

24 Explain any privacy and civil liberties risks related to privacy controls.

There are no privacy and civil liberties risks.

26 Describe this system's audit trail in detail. Provide supporting documents.

The system logs user access and modification activities. Role-based access controls are implemented to prevent unauthorized actions. The audit logs are sent to Splunk.

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

No

Interfaces

Interface Type

Other Federal Agencies

Agency Name
Pay.gov
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Application to Application (A2A)

Interface Type

Forms
Agency Name
23 - Application for Enrollment to Practice Before the Internal
Revenue Service
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Application to Application (A2A)

Interface Type

IRS Systems, file, or database
Agency Name
Splunk
Incoming/Outgoing
Outgoing (Sending)
Transfer Method
Application to Application (A2A)

Interface Type

Other Organization
Agency Name
Third party vendor provides Enrolled Agent Special Enrollment
Examination (EA-SEE) exam data.
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Application to Application (A2A)

Interface Type

Forms
Agency Name
5434 -Joint Board for the Enrollment of Actuaries
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secure Data Transfer (SDT)

Interface Type

Forms

Agency Name

5434-A - Joint Board for the Renewal of Actuaries

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure Data Transfer (SDT)

Interface Type

Forms

Agency Name

8554 - Application for Renewal to Practice Before the Internal
Revenue Service

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Tax Compliance Check Service (TCCS)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 37.111 - Preparer Tax Identification Number Records

Describe the IRS use and relevance of this SORN.

Create and update Preparer Tax Identification Number Records

SORN Number & Name

IRS 37.009 - Enrolled Agent and Enrolled Retirement Plan Agent
Records

Describe the IRS use and relevance of this SORN.

Create and update Enrolled Agent and Enrolled Retirement Plan
Agent Records

SORN Number & Name

IRS 37.007 - Practitioner Disciplinary Records

Describe the IRS use and relevance of this SORN.

Create and update Practitioner Disciplinary Records

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Public Correspondence Files

What is the GRS/RCS Item Number?

RCS 11 Item 5

What type of Records is this for?

Both (Paper and Electronic)

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

Correspondence, public comments received in response to a proposed rule/regulation governing practice before the Internal Revenue Service

What is the disposition schedule?

Destroy 1 year after publication of final rule or decision to abandon publication.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Active Enrolled Agent and Enrolled Retirement Plan Agent Files

What is the GRS/RCS Item Number?

RCS 11 Item 9

What type of Records is this for?

Both (Paper and Electronic)

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

Files consist of correspondence and related forms (such as F23, F23-EP, F8554, F8554-EP) of individuals enrolled to practice before Internal Revenue Service and report of investigation.

What is the disposition schedule?

Destroy when enrollment is no longer active.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Termination Case Files

What is the GRS/RCS Item Number?

RCS 11 Item 10

What type of Records is this for?

Both (Paper and Electronic)

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

Files contain correspondence and related forms of individuals who failed to meet the requirements for renewal of enrollment, and enrollment was terminated for reasons other than resignations under 31 CFR, Section 31 CFR, S10.61(b), suspension, or disbarment.

What is the disposition schedule?

Destroy 10 years after termination of enrollment.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc- Meeting minutes

What is the GRS/RCS Item Number?

N1-590-12-1 Item 2

What type of Records is this for?

Both (Paper and Electronic)

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

Minutes documenting the discussions and decisions made by the Board during convened meetings.

What is the disposition schedule?

Disposition: PERMANENT. Cut off files at the end of the calendar year. Transfer to the National Archives 30 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EA - Disciplinary Case Files

What is the GRS/RCS Item Number?

N1-590-12-1 Item 3A

What type of Records is this for?

Both (Paper and Electronic)

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

Disciplinary Case Files.

What is the disposition schedule?

Disposition: Temporary. Cut off files at the end of the calendar year in which the last record was added to the file. Retire to Records Center 5 years after cutoff. Destroy 15 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - Enrolled Actuary Enrollment Files

What is the GRS/RCS Item Number?

N1-590-12-1 Item 4A

What type of Records is this for?

Both (Paper and Electronic)

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

Records cover individuals currently or formerly enrolled as enrolled actuaries; applicants for such enrollment, including those who have appealed proposed denial of enrollment; and individuals who may not apply for enrollment even though they have requested a waiver of the requirement to take the basic actuarial examination or have taken actuarial examinations. Records include applications for enrollment to perform actuarial services required by ERISA (Forms 5434); requests for waiver of the requirement to take the basic actuarial examination; reports that individuals have engaged in misconduct in connection with taking actuarial examinations; records pertaining to the Joint Board's investigation and evaluation of individuals' eligibility for enrollment; appeals from proposed denials of enrollment; records relating to actuarial examinations; applications for renewal of enrollment (Form 5434-A); training course materials collected during continuing education compliance audits; requests for waiver of the continuing education requirements; requests for reinstatement of enrollment following termination for failure to renew enrollment; administrative records pertaining to enrollment status, including effective dates; and the Executive Director's and the Joint Board's decisions and correspondence relating to enrollment or renewal of enrollment.

What is the disposition schedule?

Disposition: Temporary. Cut off files at the end of the calendar year in which enrollments were granted. Retire to Records Center 1 year after cutoff. Destroy 40 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - Enrolled Actuary Files

What is the GRS/RCS Item Number?

N1-590-12-1 Item 4A

What type of Records is this for?

Both (Paper and Electronic)

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

applicants for such enrollment, including those who have appealed proposed denial of enrollment; and individuals who may not apply

for enrollment even though they have requested a waiver of the requirement to take the basic actuarial examination or have taken actuarial examinations. Records include applications for enrollment to perform actuarial services required by ERISA (Forms 5434); requests for waiver of the requirement to take the basic actuarial examination; reports that individuals have engaged in misconduct in connection with taking actuarial examinations; records pertaining to the Joint Board's investigation and evaluation of individuals' eligibility for enrollment; appeals from proposed denials of enrollment; records relating to actuarial examinations; applications for renewal of enrollment (Form 5434-A); training course materials collected during continuing education compliance audits; requests for waiver of the continuing education requirements; requests for reinstatement of enrollment following termination for failure to renew enrollment; administrative records pertaining to enrollment status, including effective dates; and the Executive Director's and the Joint Board's decisions and correspondence relating to enrollment or renewal of enrollment

What is the disposition schedule?

Disposition: Temporary. Cut off files at the end of the calendar year in which enrollments were granted. Retire to Records Center 1 year after cutoff. Destroy 40 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - All other correspondence.

What is the GRS/RCS Item Number?

N1-590-12-1 Item 5B

What type of Records is this for?

Both (Paper and Electronic)

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

All other correspondence.

What is the disposition schedule?

Disposition: Temporary. Cut off at end of calendar year (in which the Executive Director or the Joint Board responded, or if no response was required, in which correspondence was received). Destroy 3 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Rosters

What is the GRS/RCS Item Number?

RCS 11 Item 6

What type of Records is this for?

Both (Paper and Electronic)

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

Rosters of Enrolled Agents (EA) and Enrolled Retirement Plan Agents (ERPA) status.

What is the disposition schedule?

Destroy when superseded or obsolete

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Resigned Enrolled Agent Case Files

What is the GRS/RCS Item Number?

RCS 11 Item 11

What type of Records is this for?

Both (Paper and Electronic)

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

Files consist of correspondence and related forms of individuals who request to resign from enrollment to practice before the Internal Revenue Service

What is the disposition schedule?

Destroy 10 years after date of resignation.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Denied/Abandoned/Withdrawn/Ineligible Application Files

What is the GRS/RCS Item Number?

RCS 11 Item 13

What type of Records is this for?

Both (Paper and Electronic)

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

Files consist of correspondence and related forms of individuals whose application for enrollment to practice before the Internal Revenue Service was denied, withdrawn, or abandoned, or who were ineligible to apply.

What is the disposition schedule?

Destroy 10 years after final denial, abandonment, or withdrawal of application.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Enrollment Appeals Files

What is the GRS/RCS Item Number?

RCS 11 Item 18

What type of Records is this for?

Both (Paper and Electronic)

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

Files consist of correspondence and related forms of individuals who appeal denial of application to practice before the Internal Revenue Service.

What is the disposition schedule?

Destroy 10 years after final decisions.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAC - Organization Files

What is the GRS/RCS Item Number?

N1-590-12-1 Item 1

What type of Records is this for?

Both (Paper and Electronic)

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

Files documenting the Joint Board's establishment, membership, policies, and organization. Records include bylaws, letters of appointment of members and the executive director, and memoranda of understanding with actuarial associations concerning examinations.

What is the disposition schedule?

Disposition: PERMANENT. Cut off files at the end of the calendar year. Transfer to the National Archives 30 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - Enrolled Actuary Disciplinary Files

What is the GRS/RCS Item Number?

N1-590-12-1 Item 3A

What type of Records is this for?

Both (Paper and Electronic)

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

Records cover current and former subjects and potential subjects of disciplinary actions and proceedings relating to enrolled actuaries, including those who received disciplinary sanctions. Records include information sent to, or collected by, the Executive Director concerning potential violations of the Joint Board's regulations; records pertaining to the Executive Director's investigation and

evaluation of such information; records of disciplinary proceedings brought by the Executive Director before administrative law judges, including records of appeals from decisions in such proceedings; petitions for reinstatement as an enrolled actuary; and the Executive Director's and the Joint Board's decisions and correspondence relating to disciplinary matters.

What is the disposition schedule?

Disposition: Temporary. Cut off files at the end of the calendar year in which they were closed. Retire to Records Center 5 years after cutoff. Destroy 15 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - files of records that did not generate an open disciplinary case.

What is the GRS/RCS Item Number?

N1-590-12-1 Item 3B

What type of Records is this for?

Both (Paper and Electronic)

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

Files of records that did not generate an open disciplinary case.

What is the disposition schedule?

Disposition: Temporary. Cut off files at the end of the calendar year in which the last record was added to the file. Retire to Records Center 5 years after cutoff. Destroy 15 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - Files of individuals who were never enrolled.

What is the GRS/RCS Item Number?

N1-590-12-1 Item 4B

What type of Records is this for?

Both (Paper and Electronic)

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

Files of individuals who were never enrolled.

What is the disposition schedule?

Disposition: Temporary. Cut off files at the end of the calendar year in which the last record was added to the file. Destroy 10 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - Training course materials collected during continuing-education compliance audits.

What is the GRS/RCS Item Number?

N1-590-12-1 Item 4C

What type of Records is this for?

Both (Paper and Electronic)

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

Training course materials collected during continuing-education compliance audits.

What is the disposition schedule?

Disposition: Temporary. Cut off files at the end of the calendar year in which the Executive Director issued a decision on the enrolled actuary's continuing-education compliance. Destroy 1 year after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - Correspondence and Miscellaneous Records

What is the GRS/RCS Item Number?

N1-590-12-1 Item 5A

What type of Records is this for?

Both (Paper and Electronic)

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

Records cover individuals who correspond with the Joint Board, (including quality and improvement surveys), and individuals who are the subject of correspondence; individuals who request information, including requests pursuant to the Freedom of Information Act or the Privacy Act; and individuals who serve as point of contact for organizations (including organizations that apply for recognition as a sponsor of continuing education for enrolled actuaries). Records do not cover individuals whose records would be covered under Enrolled Actuary Disciplinary Files or Enrolled Actuary Enrollment Files. Records include correspondence (including, but not limited to, letters, faxes, telegrams and emails) sent and received; mailing lists of, and responses to, quality and improvement surveys of individuals; requests for information; requests for recognition as a sponsor of continuing education for enrolled actuaries; and the Executive Director's and the Joint Board's decisions and correspondence that are not related to disciplinary or enrollment matters.

What is the disposition schedule?

Disposition: Temporary. Cut off after expiration of the last sponsor enrollment cycle in which the sponsor received recognition.

Destroy 6 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - Requests for recognition, or continued recognition, as a sponsor of continuing education for e

What is the GRS/RCS Item Number?

N1-590-12-1 Item 5A

What type of Records is this for?

Both (Paper and Electronic)

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

Records Requests for recognition, or continued recognition, as a sponsor of continuing education for enrolled actuaries

What is the disposition schedule?

6 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - Inventory Reports.

What is the GRS/RCS Item Number?

N1-590-12-1 Item 6

What type of Records is this for?

Both (Paper and Electronic)

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

The Executive Director's reports to the Joint Board and IRS management concerning the processing and disposition of (1) applications for initial enrollment or renewal of enrollment and (2) disciplinary cases.

What is the disposition schedule?

Disposition: Temporary. Cut off files at the end of the calendar year in which the report was submitted to the Joint Board. Destroy 20 years after cutoff.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

EAc - Advisory Committee Reference Files.

What is the GRS/RCS Item Number?

N1-590-12-1 Item 7

What type of Records is this for?

Both (Paper and Electronic)

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

The Joint Board, in order to fulfill its statutory duty to enroll qualified individuals as enrolled actuaries to perform services required by ERISA, renews the charter for the Advisory Committee on Actuarial Examinations every two years. Advisory Committee records maintained by the Joint Board are for reference purposes only, and include copies of Advisory Committee charters, advisory committee membership lists, membership applications and related correspondence, advisory committee agenda and minutes, Federal Register notices announcing meetings, Chief Counsel opinions on closed meetings, Federal Advisory Committee Act (FACA) annual reports to GSA, and correspondence from the general public.

What is the disposition schedule?

Disposition: Temporary. Cut off files at the end of the renewal period (every 2 years). Destroy 6 years after cutoff.

Data Locations

What type of site is this?

System

What is the name of the System?

ECM

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System.

Enterprise Case Management (ECM) is a business-driven transformation program that will modernize and migrate business processes into an end-to-end enterprise solution.

What are the incoming connections to this System?

Pay.gov and Prometric systems