

Date of Approval: 04/26/2024
Questionnaire Number: 1148

Basic Information/Executive Summary

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

eOPF OCR

Business Unit

Human Capital 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.

The Robotic Process Automation (RPA) Program is creating an automated solution using UiPath to automate the manual import process of the SF52 and SF1150 employee forms and upload process to eOPF within the Human Capital Office (HCO) - Human Resource Shared Services (HRSS) customer. This project will deliver a hybrid digitization/RPA solution. Development and implementation of this solution supports HCO readiness to meet the Office of Management and Budget (OMB) Mandate M-19-21 on or before June 2024. The capabilities of the hybrid solution include digitizing two personnel forms (Standard Form (SF) -1150 and SF-52) and utilizing RPA to upload and attach the forms to the employee's eOPF profile in the Office of Personnel Management's (OPM) eOPF system. The automation will utilize an automated process instead of manual process, resulting in numerous benefits to the IRS including costs avoidance, productivity gain, error reduction, and increased business agility. The hybrid solution will provide the customer a more efficient way to import a high volume of employee forms to eOPF.

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 SSN, First/Last Name, and DOB are key indicators currently used within the eOPF system. The automation will use the SSN to search for the employee records within the eOPF system for form SF1150. Employee first/last name will be used to search for the employee records within the eOPF system for form SF52. The automation solution will be designed to replicate the process owner keystrokes, upload and attach the forms in eOPF using RPA, and use of the digitization capability to read and extract form content. The solution will not store the content within itself.

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

Address

Federal Tax Information (FTI)

Name

Other

Social Security Number (including masked or last four digits)

Telephone Numbers

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

Employee Date of Birth (DOB), Veterans Preference, Duty Station Code, Work Schedule

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

PII for personnel administration - 5 USC

SSN for personnel administration IRS employees - 5 USC and Executive Order 9397

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)?

This is an automated solution application that will update information to another 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.

The SSN is a key indicator currently used within the eOPF system to search employee records. This key indicator is used during the manual eOPF upload process in the eOPF system. The new solution will be designed to replicate the process owner keystrokes and steps using a robotics process automation solution to perform this process using RPA.

1.4 Is this a new system?

No

1.5 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this system?

No

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.

The new automated application solution is not listed in the ABA and the external associated system that will be used (eOPF) is owned by OPM.

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

Execution

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".

Yes. Currently, IRS HCO users have required access permissions and credentials to enter and upload data in the eOPF system. The automated solution will replicate the same tasks as the process owner using their PIV credentials. The PII information that will be used is the employee's name, Social Security Number (SSN) and SEID.

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

IT RPA Internal Management Domain (IMD) 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?

We are using digital technology that includes Robotic Process Automation (RPA) and Optical Character Recognition (OCR) with the help of Artificial Intelligence (AI).

3.3 Does this system use cloud computing?

No

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

The Cloud Service Provider is IEP. The FedRAMP Package ID is F1603047866.
The date of FedRAMP authorization is 6/21/2016.

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

IRS

3.32 Does the CSP allow auditing?

Yes

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

Moderate

3.5 Does the data physically reside in systems located in the United States and its territories and is all access and support of this system performed from within the United States and its territories?

Yes

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

No

3.61 If the system requires the user to authenticate, was a Digital Identity Risk Assessment (DIRA) conducted?

No

3.63 If individuals do not have the opportunity to give consent to collect their information for a particular use, why not?

No information was collected.

3.65 If information is collected from third-party sources instead of the individual, please explain your decision.

No information is needed from a third-party source.

3.7 Describe the business process allowing an individual to access or correct their information.

No. This automation is intended for internal HCO Human Resource Shared Services (HRSS) Austin Payroll Branch to review, extract, and attach employee forms to the employee's profile within the OPM eOPF system.

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

The HCO automation is IRS Owned and Operated.

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

No

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

There are not any subcontractors for this automation.

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

HCO HRSS are the end-users/HR Specialists that have the required access and authority to review employee PII data on forms SF52 and SF1150. The system developers and operators are IRS FTEs.

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".

More than 100,000

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".

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".

Not Applicable

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?

Three (3) designated HCO HRSS Specialists in the Austin Payroll Branch have access that have been requested through the Business Entitlement Access Request Systems (BEARS). Automation access must be approved by the Payroll Branch manager and the IT RPA Program Office.

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?

The SSN is a key indicator currently used to search employee records within the eOPF system. The SSN is extracted from the employee forms (SF52 and SF1150) and is used by the automation to search, select, and upload the employee's forms to their electronic profile in eOPF. The new solution will replicate the keystrokes of the current manual process.

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

Forms

Agency Name

SF1150

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

UiPath Robotic Process Automation

Incoming/Outgoing

Both

Transfer Method

Other

Other Transfer Method

SF52 and SF1150 forms are uploaded and attached to the receiving system (OPM-eOPF system)

Interface Type

Forms

Agency Name

SF52

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

SORN Number & Name

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

This SORN relates to internal IRS employee personnel records.

SF52 is a request for personnel action record. SF1150 is the record of leave employee data.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Employee Management Records

What is the GRS/RCS Item Number?

GRS 2.2 Item 041

What type of Records is this for?

Both (Paper and Electronic)

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

Short-term Records: Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF.

What is the disposition schedule?

Destroy when suspended or obsolete, or upon separation or transfer of employee, whichever is earlier.

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Employee Management Records

What is the GRS/RCS Item Number?

GRS 2.2 Item 040

What type of Records is this for?

Both (Paper and Electronic)

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

Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the hardcopy OPF.

What is the disposition schedule?

Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.

Data Locations

What type of site is this?

Shared Drive

What is the name of the Shared Drive?

eOPF BOT

What is the sensitivity of the Shared Drive?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the Shared Drive.

A secured network Shared Drive has been designated as the HCO HRSS Austin Payroll Branch location for storing source files.

What are the incoming connections to this Shared Drive?

HCO HRSS are the end-users/HR Specialists that have the required access and authority to review employee PII data on forms SF52 and SF1150. The system developers and operators are IRS FTEs.

What are the outgoing connections from this Shared Drive?

Not Applicable. The automation will read, extract, and upload form content into OPM eOPF. There is no direct connection.