

Date of Approval: 03/19/2024
Questionnaire Number: 1044

Basic Information/Executive Summary

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

Digitalization F15434

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 project represents the scope for the Digitalization Team. The solution includes the extraction of critical fields from scanned F15434 documents and the transmission of the extracted F15434 data to an .XLSX file on a local machine. The benefits expected by the Business Process Owner after automation of the selected business process are: • Reduce/eliminate backlog of F15434 Forms - ~10,000 Forms. • Create a solution for extracting data from scanned pdf forms - ~1,000 - 10,000 Forms. • Meet or exceed field level accuracy thresholds as defined by EA SLAs below.

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).

Taxpayer uploads the Form 15434 (Application for Employee Retention Credit (ERC) Voluntary Disclosure Program) which is received by Document Upload Tool (DUT). Examiners then download forms as a PDF from the DUT site, and it's saved in the user's local files. The automation retrieves the PDF from user's local file and then extracts data which populates predefined fields within an Excel Spreadsheet. The spreadsheet is saved into the user's local file. The automation will not leverage any SME's credentials as this automation will only pull/store.xlsx file 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.

Note: The Power of Attorney form that can be attached to this form is not leveraged in this automation.

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

Name

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

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

1.4 Is this a new system?

Yes

Interfaces

Interface Type

Forms

Agency Name

F15434

Incoming/Outgoing

Incoming (Receiving)

Agency Agreement

No

Transfer Method

Other

Other Transfer Method

Data is extracted from F15434, pasted into XML. XML is saved to a local folder.r.

Interface Type

IRS Systems, file, or database

Agency Name

UI Path Action Center

Incoming/Outgoing

Both

Agency Agreement

No

Transfer Method

Secure Data Transfer (SDT)

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.

Data Locations

What type of site is this?

SharePoint Online (SPO) Collection

What is the name of the SharePoint Online (SPO) Collection?

Main Inventory List (MIL)

What is the sensitivity of the SharePoint Online (SPO) Collection?

Personally Identifiable Information (PII) including Linkable Data

What is the URL of the item, if applicable?

\\VP0SENTSHRCMN61.DS.IRSNET.GOV\Common\ERC\CLAIMS\VDP

Please provide a brief description of the SharePoint Online (SPO) Collection

The MIL will house ERC-VDP application information.

What are the incoming connections to this SharePoint Online (SPO) Collection?

Data in the MIL will be used to populate documents used for processing ERC-VDP applications.

What are the outgoing connections from this SharePoint Online (SPO) Collection?

None