Date of Approval: 03/10/2025
Questionnaire Number: 2022

Basic Information/Executive Summary

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

Account Maintenance Research

Acronym:

AMRH

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.

The Automated Underreporter (AUR) Application generates multiple reports to manage workload, but the manual process is time-consuming. This project automates: 1. Generating Account Maintenance Research (AMRH) reports in Control D. 2. Loading data into the OVERAGE REPORT CASE ASSIGNMENT SORTING TOOL (ORCAS) Delivery Tool. 3. Researching cases in Integrated Data Retrieval System (IDRS). The automation will interface with following applications: Control D (downloaded excel report), OVERAGE REPORT CASE ASSIGNMENT SORTING TOOL (ORCAS) Tool, Enterprise Consolidated Legacy Access System (ECLAS) (Backend API), Integrated Data Retrieval System (IDRS) User Interface, Automated Underreporter (AUR) User Interface, SharePoint backend integration.

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 AMRH is used to research cases in IDRS. The report captures taxpayers' social security numbers/TINS from the ORCAS report and inputs in the IDRS system to look up the information. It then verifies that data in the AUR Application before closing the control bases.

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

Social Security Number (including masked or last four digits)

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

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)?

Yes

1.1 What is the IRA Initiative Number?

4.3

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.)

Robotic Process Automation (RPA): - Title: Account Maintenance Research. - Owner: Small Business/Self Employed Business Unit. - Supports: IRS Digitization and Modernization Effort (DME). - Systems: Automated Under reporter (AUR) Application and Integrated Data Retrieval System (IDRS). - PII Required: Yes (SSNs). - Process: This automation will be used to automate the process of generating Account Maintenance Research (AMRH) reports and researching cases in Integrated Data Retrieval System (IDRS) case by looking for specific transaction codes in IDRS and validating that the necessary steps were

taken in Automated Under reporter (AUR) application before making changes in IDRS. PII is used to identify these records in both Integrated Data Retrieval System (IDRS) and Automated Under reporter (AUR) application. This process will save time and effort on the part of the tax examiners.

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.

Automated Under Reporter (AUR) Application, Integrated Data Retrieval System (IDRS), SB/SE Tenant, Automated Under Reporter (AUR) Database, Integrated Data Retrieval System (IDRS) Database

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 taxpayer social security number is required to query the transaction codes in Integrated Data Retrieval System (IDRS) and verify that the transaction codes were posted correctly in the Automated Under reporter (AUR) application. The automation will generate a report that is saved in a secure SharePoint location maintained by the Automated Under reporter (AUR) team. Location link: https://irsgov.sharepoint.com/:f:/r/sites/SbEcMem_AurRpts/Shared%20Document s/Robotics/AMRH?csf=1&web=1&e=mpY7W4

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.

The Automated Underreporter (AUR) application presently generates several reports to help manage the tax examiner's workload and it takes a long time for the operation to generate the different reports. This automation will be used to automate the process of generating Account Maintenance Research (AMRH) reports and researching cases in Integrated Data Retrieval System (IDRS) case by looking for specific transaction codes in IDRS and validating that the necessary steps were taken in Automated Under reporter (AUR) application before making changes in IDRS. PII is used to identify these records in both Integrated Data Retrieval System (IDRS) and Automated Under reporter (AUR) application. This process will save time and effort on the part of the tax examiners.

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

      High complexity project and registered with OneSDLC.

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.

      Tax examiners with already authorized and approved BEARS entitlements required for Automated Under reporter (AUR) and Integrated Data Retrieval System (IDRS) access.

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.

      Yes. As a prerequisite, users of the RPA automation are expected to have already approved BEARS entitlements are required for access the Automated Under reporter (AUR) and Integrated Data Retrieval System (IDRS) application.

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.

      The Automation is using UiPath Platform. The maintenance tasks are inherited from the host (UiPath Platform).

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 of 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.)

      This Robotic Process Automation (RPA) is not trained through the use of algorithms

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

      UiPath provides the audit trails at the organization/tenant level and these logs are stored in Microsoft Structured Query Language (mssql) database. UiPath also

provides an integration to external log products like SPLUNK. And managed service uses SPLUNK as the log aggregator, and all the UiPath logs are fed into Integrated Enterprise Portal (IEP) SPLUNK and IEP SPLUNK is connected to IRS SPLUNK. Any logs going to IEP SPLUNK will be forwarded to IRS SPLUNK. Location for Integrated Enterprise Portal (IEP) SPLUNK is as follows: Integrated Enterprise Portal (IEP) Splunk hostname: https://laco-irs.mgt.afsiep.net/ Index: service_fabric_prod Source: rancher:uipath:audit

Interfaces

Interface Type
> IRS Systems, file, or database

Agency Name
> Automated Underreporter (AUR) User Interface

Incoming/Outgoing
> Both

Transfer Method
> Other

Other Transfer Method
> UiPath RPA using mouse and keyboard inputs of the authorized user executing the automation.

Interface Type
> IRS Systems, file, or database

Agency Name
> SharePoint backend integration

Incoming/Outgoing
> Outgoing (Sending)

Transfer Method
> Secured channel via HTTPS

Other Transfer Method
> Output files

Interface Type
> IRS Systems, file, or database

Agency Name
> Integrated Data Retrieval System (IDRS) User Interface

Incoming/Outgoing
> Both

Transfer Method
> Other

Other Transfer Method
> UiPath RPA using mouse and keyboard inputs of the authorized user executing the automation.

Interface Type
　　IRS Systems, file, or database
Agency Name
　　Enterprise Consolidated Legacy Access System (ECLAS)
　　(Backend API)
Incoming/Outgoing
　　Incoming (Receiving)
Transfer Method
　　Secured channel via HTTPS

Interface Type
　　IRS Systems, file, or database
Agency Name
　　Control D
Incoming/Outgoing
　　Incoming (Receiving)
Transfer Method
　　Other
Other Transfer Method
　　A user downloaded MS Excel report

Systems of Records Notices (SORNs)

SORN Number & Name
　　IRS 24.046 - Customer Account Data Engine Business Master File
Describe the IRS use and relevance of this SORN.
　　RPA will be connected to Integrated Data Retrieval System
　　(IDRS) to verify if Transaction Codes 971/069 and/or 971/611 are
　　present on the taxpayer's account.

SORN Number & Name
　　IRS 34.037 - Audit Trail and Security Records
Describe the IRS use and relevance of this SORN.
　　The audit logs capture the identity of the tax examiner using the
　　RPA, the time and date of access to IDRS and all the revenue
　　officer's activity while using the RPA.

SORN Number & Name
　　IRS 21.001 - Tax Administration Advisory Services Resources
　　Records

Describe the IRS use and relevance of this SORN.
> The RPA automation uses the Social Security Number of the taxpayers as part of the IDRS Transaction code search and verification in the AUR report.

SORN Number & Name
> IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.
> RPA will be connected to Integrated Data Retrieval System (IDRS) to verify if Transaction Codes 971/069 and/or 971/611 are present on the taxpayer's account.

Records Retention

What is the Record Schedule System?
> Record Control Schedule (RCS)

What is the retention series title?
> IRS Electronic Tax Administration Article 32

What is the GRS/RCS Item Number?
> RCS 32, item 31(B)

What type of Records is this for?
> Both (Paper and Electronic)

Please provide a brief description of the chosen GRS or RCS item.
> Automated Under reporter (AUR) and IDRS. AUR assists tax examiners in working underreported cases, i.e., controls and tracks cases throughout the under-reporter process, plus generates notices and letters to taxpayers. The Integrated Data Retrieval System (IDRS) is an internal IRS system used to access, manage, and update taxpayer account information in real time. It enables IRS employees to retrieve data, process transactions using specific codes, manage cases, and support compliance and enforcement activities.

What is the disposition schedule?
> AUTHORIZED DISPOSITION Delete when 1 year old or when no longer needed for administrative, legal, audit or other operational purposes, whichever is sooner.

Data Locations

What type of site is this?
> SharePoint Online (SPO) Collection

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

Aur-Rpts - AMRH - All Documents

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?

https://irsgov.sharepoint.com/:f:/r/sites/SbEcMem_AurRpts/Shared
%20Documents/Robotics/AMRH?csf=1&web=1&e=d4Oxsh

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

The SharePoint folder will be used to store the AMRH report
outputs and error logs. The report output contains social security
number. The SharePoint site security will be managed by AUR
front-line managers. The historical files will be deleted by AUR
front-line managers.

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

The Time Audits automation will write to the SharePoint site to
store the report outputs and error logs.

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

There is no outgoing connection.