Date of Approval: 02/25/2025
Questionnaire Number: 1934

Basic Information/Executive Summary

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

Form 11661-A and Form 11661 Auto Population and Data Validation

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.

Form 11661-A (Fraud Development Recommendation - Collection) and Form 11661 (Fraud Development Recommendation - Examination) are fraud development case forms that are generated when potential indicators of fraud are detected. A case is placed in development status to develop and document the affirmative acts of fraud. Once affirmative acts of fraud are established, the case is recommended a referral to Criminal Investigation (CI). The RPA automation will improve the quality and accuracy of data inputs, reduce errors with consistent and defined formats to populate data fields in a more effective and efficiently manner. It will provide cost savings to the business, improve the process for generating the forms and enhance the productivity between the Initiator and the Fraud Enforcement Advisor (FEA) engagement capturing/reporting the data. As a result, the effort will reduce time spent on generating the forms and increase employee satisfaction.

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 Integrated Data Retrieval System (IDRS) command codes along with the Taxpayer Identification Number (TIN) on the Social Security Number (SSN) or the Employer Identification Number (EIN) will be used within the Integrated Data Retrieval System (IDRS) to extract the Individual or Business Taxpayer information (name/address/spouse), any related Individual Master File (IMF) and/or Business Master File (BMF) case(s) to the Individual or Business, type of tax filed, tax periods, Unpaid Balance Assessment information to complete forms 11661 and 11661-A.

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

Project title: Form 11661-A and Form 11661 Auto Population and Data Validation Business Unit Owner: Office of Fraud Enforcement (OFE) IRS strategy/Initiative supported: RPA supports the SBSE, Office of Fraud Enforcement (OFE) to improve generating the Form 11661-A and Form 11661 for the Revenue Officer (RO) and Fraud Enforcement Agent (FEA) once a fraud has been detected. System or process supported: Integrated Data Retrieval System (IDRS) PII required: Yes, Taxpayer TIN. PII is provided to automation on a per run basis just for express purpose of using IDRS to fill out form. This data is not maintained outside of filling form or outside of the run. In order to complete Form 11661 or 11661-A, this RPA will utilize Integrated Data Retrieval System (IDRS) to gather the taxpayer information on Individual Taxpayer Name/Date of Birth (DOB)/Tax Identification Number (TIN)/Social Security Number (SSN)/Address/Tax Return Information on Type of Tax, Tax Period (s), and total Unpaid Balance of Assessment (UBA), Spouse Name/ Date of Birth (DOB) (if applicable), any Business Master File (BMF) related case to the primary individual taxpayer case with the Business Name/Tax Identification Number (TIN), Employer Identification Number(EIN)/Tax Information on tax period(s), and any Individual Master File (IMF) case related to the primary individual taxpayer, specifically, the spouse tax Identification Number (TIN), Social Security Number (SSN)/Tax Return Information on tax period(s)(if applicable). Also, any information regarding the Business primary taxpayer case information on Business Name/ Tax Identification Number (TIN), Employer Identification Number(EIN)/Address/Tax Information on type of tax, tax period (s), and total Unpaid Balance of Assessment (UBA), and any IMF related case with the primary business taxpayer with information on Name/Address/ Tax Identification Number (TIN), Social Security Number (SSN)/Tax information on tax period(s), and any Business Master File (BMF) related case to the related Individual Master File (IMF) case identified(if any) and provide the Business Name/Address/ Tax Identification Number (TIN), Employer Identification Number(EIN)/Tax Return Information on tax period(s). In addition, the automation will utilize the Discovery Directory Application Programming Interface (API) to gather additional details that must be filled within the form for the IRS Compliance Employee (the form Initiator), Compliance Group Manager, and the Fraud Enforcement Advisor (FEA). This information will include Initiator Name/SEID/Title/Grade/Area/Territory/Group Number, Group Manager Name/SEID, Fraud Enforcement Advisor (FEA) Name/SEID. How the service benefits from the use of this RPA. (Process, Library, Test Automation, Template.): The automation will increase productivity by increasing form accuracy, processing speed on average and higher form completion numbers. By

incorporating logic provided by business we will incorporate a consistent logic to the filling of 11661 and 11661-A.

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.
IDRS UI Path Discovery Directory API Data Validation Excel Spreadsheet

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 TIN (SSN/EIN), FEA SEID, and Initiator's SEID will be a pre-requisite for the automation to run and complete the form fields.

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 following data entry fields for each form which are currently populated manually will be automated. Note: For each form, the field inputs will vary depending on whether the form is generated for a fraud case pertaining to an Individual Taxpayer or Business Taxpayer. Form 11661 Fraud Development Recommendation - Examination:
Individual Taxpayer Scenario Fields: 1a, 1b, 2a-2b, 5a - 5d, 6a, 7a -7d, 8, 9a - 9c, 10a - 10b, 11a - 11b, 12 a-e, 13, 13 a. - e.
Business Taxpayer scenario Fields: 3, 5a - 5d, 6b, 7a -7d, 8, 9a - 9c, 10a - 10b, 11a - 11b, 12 a-e, 13, 13 a. - e.
Form 11661-A Fraud Development Recommendation - Collection:
Individual Taxpayer Scenario Fields 1a, 1b, 2a-2b, 5a-5c, 5d, 6a, 7a-7d, 8, 9, 10a-10c, 11-11b, 12a-12b, 13, 14
Business Taxpayer Scenario Fields: 3, 5a-5c, 5d, 6b, 7a-7d, 8, 9, 10a-10c, 11-11b, 12a-12b, 13, 14

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.

      RPA level of complexity: This RPA level of complexity is indicated as High Complexity. OneSDLC registration required: Yes, all RPAs require the OneSDLC process.

9 Will connections or interdependencies be established for this RPA?

      Yes

9.1 Will the connection be encrypted?

      No

9.2 Will authentication/credentials be required?

      No

9.3 Please provide details for the connection/interdependency. Indicate if this occurs on the backend versus through the system/user interface.

      IDRS Application Programming Interface (API) - will be used to access data necessary for filling form on a per run basis. Data is not maintained outside of this run. Not encrypted.

      Discovery Directory Application Programming Interface (API) - will be used to access data necessary for filling form on a per run basis. Data is not maintained outside of run. Not encrypted.

      Data used from Integrated Data Retrieval System (IDRS) -

      The taxpayer information on Individual Taxpayer Name/ Date of Birth (DOB)/Tax Identification Number(TIN)-Social Security Number (SSN)/Address/Tax Return Information on Type of Tax and Tax Period /Spouse Name/Date of Birth (DOB)(if applicable), any Business Master File (BMF) related case to the primary taxpayer case with the Business Name/ Tax Identification Number(TIN)-Employer Identification Number (EIN)/Tax Information, and any Individual Master File (IMF) case related to the primary individual taxpayer, specifically, the spouse Tax Identification Number(TIN)-Social Security Number (SSN)/Tax Return Information on tax period(if applicable). Also, any information regarding the Business primary taxpayer information on Business Name/Tax Identification Number(TIN)-Employer Identification Number (EIN)/Address/Tax Information on type of tax and tax period, and any IMF related case with the primary business taxpayer with information on Name/Address/Tax Identification Number(TIN)-Social Security Number (SSN), Tax information on tax period, and any Business Master File (BMF) related case to the Individual identified(if any) with the Business Name/Address/tax Identification Number(TIN)-Employer Identification Number (EIN)/Tax Return Information on tax period.

      Data used from Discovery Directory:

Initiator Name/SEID/Title/Grade/Area/Territory/Group Number, Group Manager
Name/SEID, Fraud Enforcement Advisor (FEA) Name/SEID
The user will log into IDRS prior to starting the automation and the connection
occurs through the backend via Application Programming Interface (API)
There will be Application Programming Interface (API) Requests.
The Application Programming Interface (API) Requests and Responses are not
encrypted.
No credentials will not be required.

10 Indicate who has or will have permission to access the data and how users are
authenticated.
Only the end user will have access to the data used by the BOT. No authentication
is handled by the BOT

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 - BEARS entitlement for the IDRS System - BEARS entitlement for the UI
Path Software

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 and/or updates are inherited and handled through the UiPath
platform. UiPath provides functionality which will allow us to maintain and
update if/when necessary.

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.)
Not Applicable; No algorithms are used within the automation.

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 the Microsoft SQL Server (MSSQL) database. The Sample Document
for the Audit Trails is attached under the 'Attachments' section.

Interfaces

Interface Type
Forms
Agency Name
Form 11661, Form11661-A
Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Other
Other Transfer Method
RPA

Interface Type
IRS Systems, file, or database
Agency Name
Discovery Directory
Incoming/Outgoing
Both
Transfer Method
Other
Other Transfer Method
RPA

Interface Type
IRS Systems, file, or database
Agency Name
Integrated Data Retrieval System (IDRS)
Incoming/Outgoing
Both
Transfer Method
Other
Other Transfer Method
RPA

Systems of Records Notices (SORNs)

SORN Number & Name
FS .020 - U.S. Treasury Securities Fraud Information System
Describe the IRS use and relevance of this SORN.
The automation process will complete the specific fields to be
automated for Form 11661 and Form 11661-A. Once completed,

the forms will be stored in a shared location for the Revenue officer/Initiator and the FEA to review.

Records Retention

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

What is the retention series title?
> Tax Administration-Collection

What is the GRS/RCS Item Number?
> RCS 28, 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.
> (a) National Fraud Program Case Files. These records include copies of documents related to fraud cases such as Form 11661, Form 11661A, Form 2797, written plans of action, emails, notes from the Fraud Technical Advisor and miscellaneous other documents. (1) Copies, maintained by the Fraud Technical Advisor Group Manager. Records include copies of documents related to fraud cases such as Form 11661-Fraud Development Recommendation -Examination, Form 11661A-Fraud Development Recommendation -Collection, Form 2797-Referral Report of Potential Criminal Fraud Cases, written plans of action, notes from the Fraud Technical Advisor (FTA), and miscellaneous other documents used in the research and development of the case such as prints from electronic research from internal and external systems and copies of third party or public records. When the fraud development case is closed the FTA transfers all the original FTA records above to the Compliance employee. The records in the Fraud files are only copies maintained for reference and response to subsequent questions and clarification. A closed case is at the conclusion of FTA involvement related to the fraud issues. (Job No. DAA-0058-2017-0001-0001)

What is the disposition schedule?
> Destroy 10 years after case is closed.