Date of Approval: 02/19/2025
Questionnaire Number: 1870

Basic Information/Executive Summary

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

Form 13549 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 13549 Auto Population and Data Validation. The user and owners of the automation is the Small Business Self Employed (SBSE). The automation will assist by preparing a Form 13549 which is the Campus Fraud Lead Sheet for review. Once the form is completed, it will be stored for review & approval for the compliance group manager. The automation will automatically update sections I, II, and IV of Form 13549 before forwarding it to the approving official. Develop an automation process to complete sections of Form 13549: (I) Technician Data, (II) Taxpayer Data, (IV) Demographics. This is an Attended Automation which is monitored by the attending user. Through monitoring, the user will be provided a detailed audit trail for every action performed by the system. This automation will have the following benefits: The automation will improve fraud data quality, increase employee and customer satisfaction, and enhance data capture and reporting. The automation will ensure that completed Form 13549s are available for review immediately, reducing delays and wait times.

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 automated solution shall prompt the user to provide the Technician's Standard Employee Identifier (SEID) and the Technician's Mail Stop. The automated solution shall prompt the user to provide the Taxpayer Identification Number (TIN). The automated solution shall complete the taxpayer's name, Zip Code field using data from Integrated Data Retrieval System (IDRS). The automation shall search for the taxpayer information from IDRS.

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
        Federal Tax Information (FTI)
        Geographical Indicators
        Name
        Other
        Social Security Number (including masked or last four digits)
        Standard Employee Identifier (SEID)
        Tax ID Number
        Telephone Numbers

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

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.)

> RPA Project title is Form 13549 Auto Population and Data Validation. The user and owners of the automation is the Small Business Self Employed (SBSE). The aim of this project is to develop an automation process to complete sections of Form 13549 which is the Campus Fraud Lead Sheet for review. The current business process for completing form 13549 for campus Fraud, involves manually entering data in the four (4) sections of the Form 13549. These sections are: (I) Technician Data, (II) Taxpayer Data, (III) Fraud Indicators and Development Actions, (IV) Demographics. The automation will complete Form 13549 using information retrieved from the IDRS and Discovery Directory systems. The automation will ensure that completed Form 13549s are available for review immediately, reducing delays and wait times. The automation will improve fraud data quality, increase employee and customer satisfaction, and enhance data capture and reporting.

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.

> Integrated Data Retrieval System IDRS, Discovery Directory

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.

> To run the automation, at a minimum, the user must have the following information: Title Description Technician SEID The Standard Employee Identifier (SEID) belonging to the user running the automation Technician Mail Stop Mail Stop belonging to the user running the automation Taxpayer TIN The Taxpayer Identification Number (TIN) belonging to the taxpayer being processed Technician's Region/ Campus Technician should select their campus.

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 current business process for completing form 13549 for campus Fraud, involves manually entering data in the four (4) sections of the Form 13549 the Campus Fraud Lead Sheet. These sections are: (I) Technician Data, (II) Taxpayer Data, (III) Fraud Indicators and Development Actions, (IV) Demographics. This automation will prompt user for Technician's SEID, Technician's Mail Stop, Select Technician's Region and Taxpayer TIN. The automation calls the ECLAS (DMSDL and ADDRS command codes) + Discovery Directory API to get Taxpayer, Manager, and Technician data, as well as Area Territory and Group. The automation will consolidate all data and populate form 13549. The automation will ensure that completed Form 13549s are available for review immediately, reducing delays and wait times.

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.

Medium complexity project and registered with OneSDLC.

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.

The connection occurs through the backend via the Application Programing Interface (API) and the client identification and secret are stored in the UIPATH Orchestrator credentials. There will be an Application Programing Interface (API) Requests. The Application Programing Interface (API) requests and responses are not encrypted.

10 Indicate who has or will have permission to access the data and how users are authenticated.

The user will have permission to access the data under their own profile. They will authenticate prior to starting the automation.

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 entitlements are required to access the Integrated Data Retrieval System (IDRS).

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.

> It is using 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 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.)

> No

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.

Interfaces

Interface Type
> IRS Systems, file, or database

Agency Name
> IDRS

Incoming/Outgoing
> Both

Transfer Method
> Secured channel via HTTPS

Interface Type
> IRS Systems, file, or database

Agency Name
> Discovery Directory

Incoming/Outgoing
> Both

Transfer Method
        Secured channel via HTTPS

Interface Type
        Forms
Agency Name
        Form 13549 Campus Fraud Lead Sheet
Incoming/Outgoing
        Both
Transfer Method
        Other
Other Transfer Method
        Local Files

Interface Type
        IRS Systems, file, or database
Agency Name
        ECLAS API
Incoming/Outgoing
        Both
Transfer Method
        Secured channel via HTTPS

Systems of Records Notices (SORNs)

SORN Number & Name
        IRS 00.001 - Correspondence Files and Correspondence Control
        Files
Describe the IRS use and relevance of this SORN.
        The automation will complete Form 13549 using information
        retrieved from the IDRS and Discovery Directory systems. The
        automation will ensure that completed Form 13549s are available
        for review immediately, reducing delays and wait times.

SORN Number & Name
        IRS 00.003 - Taxpayer Advocate Service and Customer Feedback
        and Survey Records
Describe the IRS use and relevance of this SORN.
        FORM 13549 CAMPUS FRAUD LEAD SHEET The aim is to
        develop an automation process to complete sections of Form
        13549. The automation will ensure that completed Form 13549s
        are available for review immediately, reducing delays and wait
        times.

SORN Number & Name

IRS 70.001 - Individual Income Tax Returns, Statistics of Income

Describe the IRS use and relevance of this SORN.

The automation will Improve fraud data quality, increase employee and customer satisfaction, and enhanced data capture and reporting. The current business process for completing form 13549 for campus Fraud, involves manually entering data in the four (4) sections of the Form 13549. These sections are: (I) Technician Data, (II) Taxpayer Data, (III) Fraud Indicators and Development Actions, (IV) Demographics. The automation will complete Form 13549 using information retrieved from the IDRS and Discovery Directory systems. The automation will ensure that completed Form 13549s are available for review immediately, reducing delays and wait times.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Transitory and Intermediary Records

What is the GRS/RCS Item Number?

5.2, Item 020

What type of Records is this for?

Both (Paper and Electronic)

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

Intermediary records. Records that meet the following conditions:
● They exist for the sole purpose of creating a subsequent record, and
● They are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

What is the disposition schedule?

Disposition Instruction: Destroy upon creation or update of the final record, or when no longer needed for business use, whichever is later. Disposition Authority: DAA-GRS- 2022-0009- 0002.

Data Locations

What type of site is this?

OneDrive

What is the name of the OneDrive?
    Output Folder
What is the sensitivity of the OneDrive?
    Sensitive But Unclassified (SBU)
Please provide a brief description of the OneDrive.
    Create an output folder on user's laptop
What are the incoming connections to this OneDrive?
    RPA is sending the Form 13549 to OneDrive Output. This is a user
    specified output folder.

What type of site is this?
    System
What is the name of the System?
    UIPATH Orchestrator
What is the sensitivity of the System?
    Sensitive But Unclassified (SBU)
What is the URL of the item, if applicable?
    https://pet-uipath.as.opr.afsiep.net/default/
Please provide a brief description of the System.
    Hub for licensing, distribution, and platform functions of UiPath
What are the incoming connections to this System?
    HTTP request for credentials for the ECLAS API
What are the outgoing connections from this System?
    The credentials for the ECLAS API, Endpoint, Client ID, and Client
    Secret. Audit logs for automation run: Splunk/Elasticsearch.

What type of site is this?
    System
What is the name of the System?
    Tracking System (FITS)
What is the sensitivity of the System?
    Sensitive But Unclassified (SBU)
Please provide a brief description of the System.
    The access to this system is through BEARS approvals.
What are the incoming connections to this System?
    The SBSE send the completed Form 13549 to the Fraud
    Information Tracking System (FITS).