

Date of Approval: 03/24/2025  
Questionnaire Number: 2149

## Basic Information/Executive Summary

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

Form 2797 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.

The Information Technology Robotic Process Automation Project Management Office (RPA PMO) office will serve as the RPA Owner, providing support to the Office of Fraud Enforcement (OFE). An OFE compliance employee or agent will be responsible for running the RPA, Small Business/Self Employed (SBSE) Form 2797 Auto Pop and Validation, on their personal IRS laptop. The system is integrated with the Integrated Data Retrieval System (IDRS), Discovery Directory, Data Validation Excel spreadsheet, and the Tax Loss Computation Workbook, operating in an attended mode. Employees of Office of Fraud Enforcement (OFE) will have access to this automation. The data retrieved from IDRS, the Data Validation Spreadsheet, and the Tax Loss Computation Workbook will be stored on Form 2797 (Referral Report of Potential Criminal Fraud Cases). The implementation of the RPA automation is essential as it will enhance fraud data quality, boost employee and customer satisfaction, and improve data capture and reporting. It is projected that 2,372 hours will be saved annually due to this automation. A survey will be conducted in collaboration with

the OFE. The information utilized in this process includes the initiator's name and standard employee identifier (SEID), Taxpayer Identification Number (TIN) (SSN/EIN), Spouse and/or Depend TIN (SSN) if applicable, Territory manager's name, group manager name, OFE employee name and SEID, and OFE manager name and SEID. The RPA automation will complete Form 2797 by using Taxpayer's TIN (SSS/EIN) in IDRS. It will then use that information to fill in the Taxpayers first and last name, Date of birth (DOB), address and Citizenship. If the Taxpayer' has a Spouse and/or Dependent, it will also pull that information from IDRS. The automation will then fill in the Spouse's and Dependent's first and last name, DOB, and Citizenship on Form 2797. After that, the automation will fill in the potential tax loss of the Taxpayer and/or business based off the Taxpayer's TIN(SSN/EIN) from IDRS. Lastly, the automation will use Discovery Directory, and the Data Validation Excel Spreadsheet to fill in the appropriate territory manager's name, group manager name of the initiator, the OFE employee name and SEID, and the OFE manager name and SEID.

## **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, and tax periods, to complete form 2797. The data is pulled from the secured IDRS system that only individuals with BEARs access can have. Once the IDRS connect is no longer established, the session is terminated. The user will have to log back in to once again retrieve the sensitive data.

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

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.

Spouse TIN(SSN), Spouse first & last name, Spouse Date of birth (DOB), Spouse Citizenship. Dependent TIN (SSN), DOB, Citizenship. Initiators name & SEID. Territory manage name, Group manager name & SEID, Campus collection ICS number, OFE Employee name & SEID, OFE manager name & SEID

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

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

PII for personnel administration - 5 USC

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.)

Form 2797 Auto Population and Data Validation is used by the Office of Fraud Enforcement (OFE). To improve generating the Form 2797 for the Revenue Officer (RO) and the Fraud Enforcement Agent (FEA), once a fraud has been detected, the Integrated Data Retrieval System (IDRS) is provided PII to fill out sections I, II, and III of Form 2797. This data is not maintained outside of filling the form or outside of the automation run. To complete Form 2797, this RPA will utilize Integrated Data Retrieval System (IDRS), Direct Discovery, and a Data Validation spreadsheet to gather the information to complete the following sections:

1. Section I - Identifying Information.

In this section, the automation fills out the taxpayer's information, including address, date of birth (DOB), and citizenship, the spouse's information (if applicable), the dependent's information (if applicable), the last file return of the taxpayer and the earliest statute of limitations.

2. Section II - Overview.

In this section, the taxpayer's potential tax loss is calculated and report.

3. Section III - Approvals.

In this section, the initiators name, SEID, and grade is reported as well as the territory and group manager's name and SEID. 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 Form 2797.

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, UiPath, Discovery Directory API, Data Validation Excel Spreadsheet, IRS Tax Loss Computation Workbook

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 automation will complete Form 2797 using information retrieved from IDRS, Discovery Directory, Data Validation Excel Spreadsheet, and the Tax Loss Computation Workbook to complete the following sections:

1. Section I - Identifying Information.

In this section, the automation fills out the taxpayer's information, including address, date of birth (DOB), and citizenship, the spouse's information (if applicable), the dependent's information (if applicable), the last file return of the taxpayer and the earliest statute of limitations.

2. Section II - Overview.

In this section, the taxpayer's potential tax loss is calculated and report.

3. Section III - Approvals.

In this section, the initiators name, SEID, and grade is reported as well as the territory and group manager's name and SEID.

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.

This RPA level of complexity is indicated as Medium 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?

Yes

9.2 Will authentication/credentials be required?

Yes

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

The user will log into IDRS prior to starting the automation and the connection occurs through the backend via Application Programming Interface (API). The (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.

The attended automation will run under the user's profile. Every user will have a UiPath license and access rights to the automation in Development, Test and Production environments based on the user's role. Users will authenticate manually in IDRS and other systems as usual, and they will access only the data that their profile's permissions allow. The resulting files will be placed on an access-restricted shared drive. All users are on the IRS network and have the appropriate credentials for SBU and IDRS.

11 Indicate if Business Entitlement Access Request System (BEARS) entitlements are required for access and if Privileged User Management Access System (PUMAS) 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 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.)

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 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

Data Validation Excel Spreadsheet

Incoming/Outgoing

Both

Transfer Method

Other

Other Transfer Method

Enterprise Consolidated Legacy Access System (ECLAS)

Application Program Interface (API)

### 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

**Interface Type**

Forms  
Agency Name  
Form 2797  
Incoming/Outgoing  
Incoming (Receiving)  
Transfer Method  
Other  
Other Transfer Method  
RPA

**Interface Type**

Other Organization  
Agency Name  
UiPath  
Incoming/Outgoing  
Both  
Transfer Method  
Other  
Other Transfer Method  
Enterprise Consolidated Legacy Access System (ECLAS)  
Application Program Interface (API)

**Interface Type**

IRS Systems, file, or database  
Agency Name  
IRS Tax Loss Computation Workbook  
Incoming/Outgoing  
Both  
Transfer Method  
Other  
Other Transfer Method  
Enterprise Consolidated Legacy Access System (ECLAS)  
Application Program Interface (API)

# 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 use of this SORN is needed for this RPA because the automation uses Integrated Data Retrieval System, which hold personal identifiable information. With the use of this SORN, we ensure that the automation handles sensitive data that complies with privacy laws and regulations. In addition, it will detail the types of personal information collected, sources of data, uses of information, and the conditions under which the data can be shared.

## **SORN Number & Name**

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

This SORN is being used because the automation utilizes Integrated Data Retrieval System. The user will access the automation by logging into UiPath with their SEID and standard login credentials. These credentials are thus used to track every data pull within IDRS. Which ensures that an audit/monitoring system is in place to ensure the safeguarding and confidentiality of sensitive data.

## **SORN Number & Name**

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

The user accesses the automation by logging into UiPath Assistant with their SEID and standard login credentials

# 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. 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?

Cut off when case is closed. Destroy 3 years after the case is closed.

## Data Locations

What type of site is this?

System

What is the name of the System?

Integrated Data Retrieval System (IDRS)

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

What are the incoming connections to this System?

Personal Identity Verification (PIV) Pin

What type of site is this?

System

What is the name of the System?

Discovery Directory

What is the sensitivity of the System?

Sensitive But Unclassified (SBU)

What is the URL of the item, if applicable?

<https://discovery.directory.enterprise.irs.gov/discovery/search.asp?>

Please provide a brief description of the System.

Discovery Directory is an interface through which one can view some of the data in the Corporate Authoritative Directory Service (CADS).

What are the incoming connections to this System?

Standard Employee Identifier (SEID)