

Date of Approval: 05/12/2025
Questionnaire Number: 2218

Basic Information/Executive Summary

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

HCO Prob Terms

Business Unit

Human Capital Office

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 Human Capital Office (HCO) Prob Terms automation will implement an attended robotic process automation (RPA) to improve time efficiency by reducing manual process of reviewing entering the probationary Terminated employee's data into Automated Labor and Employee Relations Tracking System (ALERTS). The RPA (BOT) will reside on the Robotic Process Automation Program (UiPath) platform and will be run each day by the assigned analyst on their laptop. RPA owned by Jyothi Vasa and operated by HCO team. HCO Prob Terms automation supports IRS wide initiative of modernization and enhancing employee experience. This initiative will enhance core technology processes and operations, enabling the delivery of enhanced capabilities for users while consolidating and processing the separating employee data. HCO Prob Terms does not require application of RPA outside the platform and the ALERTS system; however, the input excel sheet file will be required to support the project (for employee identification and input dates). The user will launch the UiPath Assistant from their desktop and run the bot at defined times throughout the day.

The SBU/PII elements identified in this PCLIA supports the RPA process; the RPA does not store the SBU used. Key benefits of this automation include:

- High-Volume Processing: The automation enables the system to handle higher transaction volume in a very less time and helps the agency complete a time bound task for a larger set of people with less effort.
- Improved efficiency and Accuracy: Automating the process ensures better data consistency, reduces the risk of human error and faster turnaround times
- Resource Optimization: Frees up resources time for higher priority tasks, improving overall productivity across teams.

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).

HCO Prob Terms automation requires SEID of an employee and Manager name to create a case in Automated Labor and Employee Relations Tracking system.

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

Employment Information

Name

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

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

SSN for personnel administration IRS employees - 5 USC and Executive Order 9397

Product Information (Questions)

1 Is this PCLIA a result of a specific initiative or process improvement?

Yes

1.1 What is the name of the Business Unit (BU) or Agency initiative?

Human Capital Office (HCO)

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: HCO Prob Terms Business Unit Owner: Human Capital Office (HCO) HCO Prob Terms automation will implement an attended robotic process (RPA) automation to improve time efficiency by reducing manual process of reviewing entering the probationary Terminated employee's data into Automated Labor and Employee Relations Tracking System (ALERTS). The RPA (BOT) will reside on the Robotic Process Automation Program (UiPath) platform and will be run each day by the assigned analyst on their laptop. HCO Prob Terms automation supports IRS wide initiative of modernization and enhancing employee experience. This initiative will enhance core technology processes and operations, enabling the delivery of enhanced capabilities for users while consolidating and processing the separating employee data. HCO Prob Terms does not require application of RPA outside the platform and the ALERTS system; however, the input excel sheet file will be required to support the project (for employee identification and input dates) The user will launch the UiPath Assistant from their desktop and run the bot at defined times throughout the day. The SBU/PII elements identified in this PCLIA supports the RPA process; the RPA does not store the SBU used. The HCO Prob Terms automation is a medium complexity RPA and is registered with OneSDLC; it will be programmed to mimic human actions. The RPA will automatically login to ALERTS, click buttons on and copy data from the received excel spreadsheet to perform workflow activities; this does require built-in controls for screen scraping actives. This technique is vital for the automation of repetitive tasks such as data extraction (employee SEID, case received dates) and process activities like field inputs (case received date, issue code, event codes, specialist information) to add case and close case. RPA require the use of ALERTS applications and SBU/PII in excel spreadsheet to create an administrative case and close case. This automation will have the following additional benefits:

- Eliminate manual validation/data input time for FTEs
- Improve the data accuracy of extracted form fields (reduced human error)

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.

ALERTS

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.

This automation uses SEID/SSN of an IRS employee to perform a search in the Automated Labor and Employee Relations Tracking System (ALERTS) system. Employee name used for Search validation results.

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.

This automation will replace data entry of probationary termination cases into ALERTS system.

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?

No

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

This is an attended automation, and users will have access to the automation through Business Entitlement Access Request System (BEARS) entitlements. HCO User has Read only access to data.

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.

Access to HCO Prob Terms automation is requested via Business Entitlement Access Request System (BEARS). Data access is granted on a need-to-know basis. BEARS enrollment process requires that an authorized manager approve access requests on a case-by-case basis. Access approval is based on the Users role(s) and responsibilities. Users are given the minimum set of privileges required to perform their regular and recurring work assignments; they are

restricted from changing the boundaries of their access without management approval.

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.

No customized maintenance activities. UiPath Platform will maintain the platform. Any maintenance i.e., security updates as per planned schedule along with perform platform upgrades that the automation will need to be completed by Operations and Maintenance (O&M) team

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, HCO Prob Terms automation 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 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

ALERTS System

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Excel file

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Application to Application (A2A)

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.

Probationary Terminated cases creation

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Employee Separation Records

What is the GRS/RCS Item Number?

GRS 2.5, item: 040

What type of Records is this for?

Electronic

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

Individual employee separation records required to be placed in separating employee's OPF.

What is the disposition schedule?

File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate.

Data Locations

What type of site is this?

System

What is the name of the System?

ALERTS

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

What is the URL of the item, if applicable?

<https://alerts.dev.dstest.irsnet.gov>

Please provide a brief description of the System.

ALERTS allows users to establish, track and maintain employee relations cases and to establish and track Labor Relations activities, Unfair Labor Practice (ULP) charges, and events for negotiation processes, grievances, and arbitration proceedings.