

Date of Approval: 01/03/2025  
Questionnaire Number: 1696

## Basic Information/Executive Summary

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

Individual Income Tax Credit Bot

Acronym:

IITC Bot

Business Unit

Chief Financial Officer

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 robotic process automation (RPA) title is the Individual Income Tax Credit (IITC) Bot. This automation will support the Business Income Tax Credit process. This is an attended automation, and it will be run by the process owner from UiPath Assistant and UiPath Orchestrator. It will extract data from email attachments in Outlook and paste data into Excel spreadsheets. All activities and functions will occur on the user's computer, and no data will be stored outside of the user's machine. This automation is in support of the Chief Financial Officer's (CFO) modernization and automation initiatives. This RPA is needed because it will complete labor-intensive, manual, repetitive tasks that may be prone to errors. This bot uses taxpayer credit amounts and samples taxpayer data to ensure that tax credits are being calculated and applied correctly. Only the user will have access to the data, and the data are being stored in the user's computer. This

UiPath bot will automate critical testing processes that occur a minimum of three times per year, with ad hoc processes occurring in response to new legislation. This analysis process verifies that the tax business requirements logic and the calculations for Individual Income Tax Credits are accurately applied across states. The target for automation includes formatting spreadsheets, managing various files and file formats, and parsing text files to transcribe numeric values into a spreadsheet.

## 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).

This bot will send emails requesting taxpayer sample data. These emails and names will be stored in a local configuration sheet with the names of business unit contacts. The points of contact may change over time. The bot will do exactly what the user would do manually. The bot is downloading and saving the data to the User's computer. When the business unit responds with an email containing sample data, the bot will extract data and create a spreadsheet with tax identification numbers (TINs) being stored in the user's computer and folders. The user will manually handle (i.e., delete or de-identify) PII permanently from the spreadsheet in their computer. If the user's computer is secure, then the PII stored on their machine will also be secure. The input and output files password protected, encrypted, and saved on the user's machine.

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

Email Address

Name

Tax ID Number

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

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

## Product Information (Questions)

1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?

No

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)

The project title is the Individual Income Tax Credit (IITC) Bot. This project supports the Chief Financial Officers (CFO) Revenue Systems process automation and financial modernization initiative. The IITC process occurs a minimum of three times per year, with ad hoc processes occurring in response to new legislation. This analysis process verifies that the tax credit business requirements logic and the calculations for Individual Income Tax Credits across states are accurately represented in internal systems. The target for automation includes formatting spreadsheets, managing various files and file formats, and parsing text files to transcribe numeric values into a spreadsheet. This automation will extract data PII from email attachments in Outlook. The automation then adds this data onto formatted spreadsheets saved to the user's computer. The user, who downloads and access TINs, will ensure that files with PII be deleted permanently from the local environment. The PII stays on the user's computer and never leaves the security of the user's system. The manual, repetitive steps take the most amount of time and limit the quantity and quality of test credit testing.

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.

Outlook

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 data is required to test the accuracy of application of new tax credits to taxpayers from various states in internal reporting systems.

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?

No

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

This RPA is low complexity. We have registered with OneSDLC. IT's Technical Insertion process was not used for approval.

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 UiPath Bot will connect to Outlook's user interface, mirroring the permissions and functionality that a human user would have.

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

CFO Financial Modernization and Technology developers will have access to this automation. CFO tax analysts will have user and owner 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.

BEARS entitlements are not required for access and running the bot, however, BEARS entitlements are required for UiPath applications. A user must have UiPath Assistant installed on their machine. They must have a dedicated pathway to running the automation. Only a user who has the credentials to sign in and run the bot will be able to access and deploy the automation.

12 Identify the maintenance tasks or updates performed; state whether the maintenance tasks are inherited from the host (UiPath Platform), or you are using customized maintenance activities.

This RPA will include standard maintenance and updates, including necessary changes to the config file. Maintenance tasks will be inherited from the host (UiPath Platform, Orchestrator).

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, this RPA is not trained based on 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.

IRS RPA's project use case folder is managed and maintained by IT RPA and reviewed and approved by OneSDLC. Audit trails will be managed by IT RPA.

## Interfaces

### Interface Type

IRS Systems, file, or database

### Agency Name

Outlook

### Incoming/Outgoing

Both

### Transfer Method

Secure email/Zixmail

## Systems of Records Notices (SORNs)

### SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

These records are being sampled to ensure that tax credits are being accurately calculated in IDRS prints.

### SORN Number & Name

IRS 42.008 - Audit Information Management System

Describe the IRS use and relevance of this SORN.

The purpose of this SORN is to maintain information about returns in inventory and closed returns. This bot helps ensure that income tax credits are being applied to taxpayers across states accurately. This helps maintain updated information about returns.

# Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

16 Chief Financial Officer (CFO) and Accountable Officer  
Records

What is the GRS/RCS Item Number?

25

What type of Records is this for?

Electronic

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

Management Controls and Oversight. Includes audit and inspection records, internal and external reports the IRS maintains supporting IRS self-inspection programs, all records supporting external Federal reporting requirements, and supporting documentation for Congressional inquiries. (GRS 1.1, Item 010; Job No. DAA-GRS2013-0003-0001).

What is the disposition schedule?

AUTHORIZED DISPOSITION Destroy 6 years after audit or reporting use.

# Data Locations

What type of site is this?

System

What is the name of the System?

Outlook

What is the sensitivity of the System?

Sensitive But Unclassified (SBU)

Please provide a brief description of the System.

The user's Outlook application, accessible to them on their computer after logging in with a PIV card.

What are the incoming connections to this System?

Local environment requires access to IRS systems. To receive incoming data the user must have access to Outlook and the IRS network through a wired connection or the verified private network (VPN). The UiPath automation identifies attachments related to this task, the bot automatically downloads those files and parses them onto an Excel spreadsheet that is saved on the user's computer.

What are the outgoing connections from this System?

Local environment requires access to IRS systems. To send data outward the user needs access to Outlook and the IRS network through a wired connection or the verified private network (VPN). The excel spreadsheet is populated by the bot, the user then manually saves the file to their computer for additional analysis and validation.