Basic Information/Executive Summary

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

Inventory Reports RPA

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.

Currently, Front-Line Managers, Department Managers, Operations Managers, and Automated Underreporter (AUR) Coordinators run the Inventory Reports for Tax Examiners twice weekly. This manual process takes approximately one hour per Tax Examiner, requiring the report to be imported into Microsoft Excel and formatted, making it time-consuming and labor-intensive. The proposed automation will:
• Automatically generate complete inventory reports in Microsoft Excel format, ready for immediate use.
• Produce reports for all Tax Examiners and tax years.
• Store the report outputs and error logs securely in the AUR Inventory Reports SharePoint site.
This automation will significantly expedite the auditing process, enhancing operational efficiency and reducing manual effort. This RPA does not use any interfaces.

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 Inventory report retrieves tax years batch data from the AUR system and inputs data into Excel. The report captures batches that are conduits of taxpayers' social security numbers, and the information can be used by Tax examiners to research the cases. The batch numbers are part of the report output. This PTA is related to parent PCLIA 1832.

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

Social Security Number (including masked or last four digits)

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

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 process title is Inventory Reports. The Business unit is Small Business/ Self Employed (SB/SE). The initiative is the IRS Digitization and Modernization Effort (DME) program. The Inventory report retrieves tax years batch data from the AUR system and inputs data into Excel. The report captures batches that are conduits of taxpayers' social security numbers, and the information can be used by Tax examiners to research the cases. The batch numbers are part of the report

output. The report output includes the batch numbers that are conduits to Social Security Number as part of the Inventory report data.

3.1 Is there a PCLIA for this project?
No

4 Identify the IRS IT systems, applications, projects, and/or databases this RPA is applied to; include the associated system name.
The IRS IT systems is AUR application. It will be using SB/SE Tenant and AUR database.

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 batches that are conduits to taxpayer social security number have been included originally to the Inventory report and the automation will continue to show same report output.

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.
It is automating the running of Inventory reports by running for applicable Tax Examiners for all Tax Year for specified date/time.

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.
Tax examiners with already authorized and approved BEARS entitlements required for Automated Under reporter (AUR) and Integrated Data Retrieval System (IDRS) 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.

> Yes, BEARS entitlements are required to access the AUR application which the Front-Line Managers already have.

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. The maintenance tasks or updates performed are inherited from the host (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 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 Microsoft Structured Query Language (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

Systems of Records Notices (SORNs)

> **SORN Number & Name**
> > IRS 21.001 - Tax Administration Advisory Services Resources Records
>
> Describe the IRS use and relevance of this SORN.
> > The Inventory report output gets store in the AUR SharePoint Location and spreadsheets are managed by the AUR team. The

SharePoint permission is managed by the AUR SharePoint team.
https://irsgov.sharepoint.com/:f:/r/sites/SbEcMem_AurRpts/Shared
%20Documents/Robotics/Inventory%20Reports?csf=1&web=1&e
=hMYBka

Records Retention

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

What is the retention series title?
> IRS Electronic Tax Administration - 32

What is the GRS/RCS Item Number?
> RCS 32, item 31(B)

What type of Records is this for?
> Both (Paper and Electronic)

Please provide a brief description of the chosen GRS or RCS item.
> Automated Underreporter (AUR). AUR assists tax examiners in working underreporter cases, i.e., controls and tracks cases throughout the underreporter process, plus generates notices and letters to taxpayers.

What is the disposition schedule?
> AUTHORIZED DISPOSITION Delete when 1 year old or when no longer needed for administrative, legal, audit or other operational purposes, whichever is sooner.

Data Locations

What type of site is this?
> SharePoint Online (SPO) Collection

What is the name of the SharePoint Online (SPO) Collection?
> Aur-Rpts - Inventory Reports - All Documents

What is the sensitivity of the SharePoint Online (SPO) Collection?
> Personally Identifiable Information (PII) including Linkable Data

What is the URL of the item, if applicable?
> https://irsgov.sharepoint.com/:f:/r/sites/SbEcMem_AurRpts/Shared
> %20Documents/Robotics/Inventory%20Reports?csf=1&web=1&e
> =7ISiTP

Please provide a brief description of the SharePoint Online (SPO) Collection.
> The SharePoint folder will be used to store the Inventory report outputs and error logs. The report output contains batches that are conduits to social security number. The SharePoint site security

will be managed by AUR Front-Line Managers. The historical files will be deleted by AUR Front-Line Managers.

What are the incoming connections to this SharePoint Online (SPO) Collection?

The Inventory report automation will write to the SharePoint site to store the report outputs and error logs.

What are the outgoing connections from this SharePoint Online (SPO) Collection?

There is no outgoing connection.