

Date of Approval: 03/10/2025  
Questionnaire Number: 2109

## Basic Information/Executive Summary

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

OIC-DATL 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.

Project title is OIC-DATL Validation. The user and owners of the automation is the Small Business Self Employed (SBSE). The automation will cross check Offer in Compromise (OIC) to Doubt as to liability (DATL) cases from the Automated Offer in Compromise (AOIC) to identify cases that have not been established on Audit Information Management System (AIMS) and the Integrated Data Retrieval System (IDRS) and are not in process. The OIC-DATL cases carry a 2-year statute that cannot be extended thus must be worked promptly. The primary objective for automating the OIC-DATL (Offer in Compromise - Doubt as to Liability) process is to streamline and enhance the efficiency of case management. The automation will allow coordinators to proactively address cases earlier in the process, rather than waiting until the critical six-month period before the TIPRA (Tax Increase Prevention and Reconciliation Act) statute expires. This early intervention reduces the likelihood of missed deadlines, which could have financial repercussions.

## 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 Taxpayer Identification Number (TIN). The automation will cross check Offer in Compromise (OIC) to Doubt as to liability (DATL) cases from the Automated Offer in Compromise (AOIC) to Audit Information Management System (AIMS) real time codes which are available through the Integrated Data Retrieval System (IDRS). The automation shall search for the taxpayer information on these systems and allow coordinators to proactively address cases earlier in the process, rather than waiting until the critical six-month period before the TIPRA (Tax Increase Prevention and Reconciliation Act) statute expires.

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

Employer Identification Number

Federal Tax Information (FTI)

Geographical Indicators

Name

Social Security Number (including masked or last four digits)

Tax ID Number

Telephone Numbers

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.)

Project title is OIC-DATL Validation. The user and owners of the automation is the Small Business Self Employed (SBSE). The automation will cross check Offer in Compromise (OIC) to Doubt as to liability (DATL) cases from the Automated Offer in Compromise (AOIC) to identify cases that have not been established on AIMS and IDRS and are not in process. The OIC-DATL cases carry a 2-year statute that cannot be extended thus must be worked promptly. The report input includes list of Taxpayer Identification Number (TIN) as part of the data to run the automation. The primary objective for automating the OIC-DATL (Offer in Compromise - Doubt as to Liability) process is to streamline and enhance the efficiency of case management. The automation provides a 100% gain in efficiency by removing bottlenecks caused by manual workflows. It enables coordinators to handle a higher volume of cases with the same or fewer resources, ensuring that all cases receive timely attention.

3 Is this a new Robotic Process Automation (RPA) project?

Yes

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.

Systems access required include:

- AOIC (Automated Offer in Compromise)
- BOE (Business Objects Enterprise)
- AIMS/IDRS (Integrated Data Retrieval System)

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 Taxpayer Identification Number (TIN) belonging to the taxpayer being processed. The automation will compare the statuses of the TINs from AOIC Report to AIMS real time command codes and Integrated Data Retrieval System (IDRS) using the ECLAS API.

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 OIC-DATL cases carry a 2-year statute that cannot be extended thus must be worked promptly. The primary objective for automating the OIC-DATL (Offer in Compromise - Doubt as to Liability) process is to streamline and enhance the efficiency of case management. The automation will allow coordinators to proactively address cases earlier in the process, rather than waiting until the critical six-month period before the TIPRA (Tax Increase Prevention and Reconciliation Act) statute expires.

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 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.

BEARS entitlements are required to access the following systems:

- AOIC (Automated Offer in Compromise)
- BOE (Business Objects Enterprise)
- AIMS/IDRS (Integrated Data Retrieval System)

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.

The maintenance tasks 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. The credentials for the ECLAS API, Endpoint, Client ID, and Client Secret. Audit logs for automation run: Splunk/Elasticsearch. These logs are stored in Microsoft Structured Query Language (mssql) database. UiPath also provides an integration to external log products like SPLUNK. The 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  
ECLAS API  
Incoming/Outgoing  
Both  
Transfer Method  
Secured channel via HTTPS

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

**Interface Type**  
IRS Systems, file, or database  
Agency Name  
Business Objects Enterprise (BOE)  
Incoming/Outgoing  
Both  
Transfer Method  
Secured channel via HTTPS

**Interface Type**  
IRS Systems, file, or database  
Agency Name  
Automated Offer in Compromise (AOIC)  
Incoming/Outgoing  
Both  
Transfer Method  
Secured channel via HTTPS

## **Systems of Records Notices (SORNs)**

**SORN Number & Name**  
IRS 70.001 - Individual Income Tax Returns, Statistics of Income  
Describe the IRS use and relevance of this SORN.  
Taxpayers, who have a legitimate doubt that they owe part, or all, of a tax debt, may file an offer in compromise under the "Doubt as to Liability" basis. Doubt as to liability exists where there is a genuine dispute as to the existence, or amount, of the correct tax

debt under the law. The OIC-DATL cases carry a 2-year statute that cannot be extended thus must be worked promptly. The automation will empower OIC-DATL coordinators to be more proactive in addressing cases. This early intervention reduces the likelihood of missed deadlines, which could have financial repercussions.

**SORN Number & Name**

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.

The goal of the OIC-DATL program is to ensure adherence to IRC 7122, Compromises, and closure of all OIC-DATL cases before the expiration of the 24-month Tax Increase Prevention and Reconciliation Act (TIPRA) statute. The primary objective for automating the OIC-DATL (Offer in Compromise - Doubt as to Liability) process is to streamline and enhance the efficiency of case management.

**SORN Number & Name**

IRS 00.003 - Taxpayer Advocate Service and Customer Feedback and Survey Records

Describe the IRS use and relevance of this SORN.

The automation will allow coordinators to proactively address cases earlier in the process, rather than waiting until the critical six-month period before the TIPRA (Tax Increase Prevention and Reconciliation Act) statute expires. This early intervention reduces the likelihood of missed deadlines, which could have financial repercussions.

## **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?

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.