

Date of Approval: 03/24/2025
Questionnaire Number: 2165

Basic Information/Executive Summary

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

BMF TDI Transcripts Processing

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 Name: BMF (Business Master File) TDI (Taxpayer Delinquency Investigation) Transcripts Processing Automation
Business Master File (BMF) MasterFile performs a weekly extraction of Business Master File (BMF) Non-filer transcript inventory onto a Compact Disk - Read Only Memory (CD-ROM), which is sent for a Generalized Integrated Data Retrieval System (IDRS) Interface (GII) run that

- 1) Closes/sends letters for some cases
- 2) Opens Inventory Development System (IDS) controls for cases to be worked manually at three Campuses
- 3) Identifies "No Action" cases.

This will be an attended automation and will replace the Compact Disk - Read Only Memory (CD-ROM) process by taking advantage of the recently enabled electronic assignment of this work to the Account Management Services (AMS) system. A Robotics Process Automation (RPA) would leverage the existing Generalized Integrated Data Retrieval System (IDRS) Interface (GII) capabilities,

with the added capabilities of interacting with Account Management Services (AMS) to perform Integrated Data Retrieval System (IDRS) and Account Management Services (AMS) research and take closing actions on both systems.

Expected Benefits:

The current Compact Disk - Read Only Memory (CD-ROM) process is a high risk for Personally Identifiable Information (PII), as it is mailed weekly, and as the disks require the proper disposal methods. We are finalizing the electronic transmission to Account Management Services (AMS) and its identification, which presents the opportunity to replace the high-risk, outdated media disk process. The enhancements will save Full-Time Employee (FTE) spent on executing the GII, controlling work, and performing account actions for the existing revenue protection transcript process.

A Full-Time Employee (FTE) savings from managerial, clerical, and tax examining resources currently being expended will be immediately, together with the elimination of the PII risk associated with the disks being mailed. In the long term, this process can be leveraged to many other programs that work transcripts as a means of revenue protection.

- **Expedited Processing:** The performance speed of the research being performed to determine if a BMF TDI Transcript can be closed or not to increase considerably.
- **Quality & Value Output:** Reduce duplication of effort; improve accuracy reducing human error.
- **Improve Employee Morale:** Streamline back-office processes by shifting time spent on labor-intensive activities.
- **Eliminate reliance on IRS employees/contractors** to complete upload and indexing process of files.
- **Enable collection of transactions' processing metrics** for evaluation of business performance KPIs.
- **Elevate the level of consistency and quality of services** and automate standardized business processes.

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 Employer Identification Number (PII) will be taken from AMS for a particular Master File Tax Code (MFT Code), Tax Period and the corresponding history of information is looked up on Integrated Data Retrieval System (IDRS)

for that Employee Identification Number (EIN), Master File Tax Code (MFT Code), Tax Period combination. We do not store the PII information anywhere else in this project. As a result, a mitigation strategy has not been provided, since there is no need for one.

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

Address
Employer Identification Number
Federal Tax Information (FTI)
Name

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 a specific initiative or process improvement?

Yes

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

IRA # 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: Business Master File (BMF) Taxpayer Delinquency Investigation (TDI) Transcripts Processing

BU Owner: Small Business/Self-Employed (SB/SE)

PII Required by the RPA: Yes. Employer Identification Number (EIN) is required for the automation to the run. The automation will also use the Name, Address and Federal Taxpayer Information (FTI) of the business.

RPA Process: The Automation will fetch Open Taxpayer Delinquency Investigation (TDI) Transcript Cases from Account Management Services (AMS). Look for the transaction corresponding to that Employer Identification Number (EIN), Master File Tax (MFT) Code and Tax Period (from Account Management Services (AMS)) on Integrated Data Retrieval System (IDRS) and take appropriate action based on the information presented in Integrated Data Retrieval System (IDRS).

Business Rules followed to take appropriate action are:

1. For a transcript that is opened for processing on AMS, the field MF ASS D MOD BAL is checked for in the IDRS screen (after executing the Command Code BMFOLT). If the value in the field MF ASS D MOD BAL is greater than or equal to zero, then the transcript can be closed on AMS with a comment "TP is not liable." and move on to process the next open transcript on AMS.

2. For a transcript that is opened for processing on AMS, the field MF ASS D MOD BAL is checked for in the IDRS screen (after executing the Command Code BMFOLT). If the value in the field MF ASS D MOD BAL is less than zero (negative balance i.e. a balance due), then the taxpayer is liable, and the transcript cannot be closed on AMS automatically. In this scenario, we move on to process the next open transcript.

Expected Benefits: The current Compact Disk - Read Only Memory (CD-ROM) process is a high risk for Personally Identifiable Information (PII), as it is mailed weekly, and as the disks require the proper disposal methods. We are finalizing the electronic transmission to Account Management Services (AMS) and its identification, which presents the opportunity to replace the high-risk, outdated media disk process. The enhancements will save Full-Time Employee (FTE) spent on executing the Generalized Integrated Data Retrieval System (IDRS) Interface (GII), controlling work, and performing account actions for the existing revenue protection transcript process.

A Full-Time Employee (FTE) savings from managerial, clerical, and tax examining resources currently being expended will be immediately, together with the elimination of the Personally Identifiable Information (PII) risk associated with the disks being mailed. In the long term, this process can be leveraged to many other programs that work transcripts as a means of revenue protection.

Expedited Processing: The performance speed of the research being performed to determine if a BMF TDI Transcript can be closed or not to increase considerably.

- Quality & Value Output: Reduce duplication of effort; improve accuracy reducing human error.
- Improve Employee Morale: Streamline back-office processes by shifting time spent on labor-intensive activities.
- Eliminate reliance on IRS employees/contractors to complete upload and indexing process of files.
- Enable collection of transactions' processing metrics for evaluation of business performance KPIs.
- Elevate the level of consistency and quality of services and automate standardized business processes.

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

No

3.1 Is there a PCLIA for this project?

Yes

3.11 What is the questionnaire number of the most recent approved PCLIA?

1734

3.12 What is the questionnaire title of the most recent approved PCLIA?
BMF TDI Transcripts Processing Automation

4 Identify the IRS IT systems, applications, projects, and/or databases this RPA is applied to; include the associated system name.
Account Management Services (AMS), Integrated Data Retrieval System (IDRS) and Enterprise Consolidated Legacy Access System (ECLAS)

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.
Employer Identification Number must be used to look up the history of transactions in IDRS and take necessary action (close the transcript on AMS) based on the information provided in IDRS.

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.
Currently, the user pulls Open TDI Transcript Cases from AMS. Looks for the transaction corresponding to that EIN, MFT Code and Tax Period (from AMS) on IDRS and take appropriate action based on the information presented in IDRS. Business Rules followed to take appropriate action are: 1. For a transcript that is opened for processing on AMS, the field MF ASS D MOD BAL is checked for in the IDRS screen (after executing the Command Code BMFOLT). If the value in the field MF ASS D MOD BAL is greater than or equal to zero, then the transcript can be closed on AMS with a comment "TP is not liable." and move on to process the next open transcript on AMS. 2. For a transcript that is opened for processing on AMS, the field MF ASS D MOD BAL is checked for in the IDRS screen (after executing the Command Code BMFOLT). If the value in the field MF ASS D MOD BAL is less than zero (negative balance i.e. a balance due), then the taxpayer is liable, and the transcript cannot be closed on AMS automatically. In this scenario, user moves on to process the next open transcript.

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.

The complexity of this RPA is Medium and yes, it is registered with OneSDLC. BMF TDI Transcripts Automation is the name registered with OneSDLC. This RPA is in Readiness state.

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.

AMS is dependent on IDRS. The connection/interdependency occurs in the backend. No user interface is involved. ECLAS is connected to IDRS. The connection occurs in the backend.

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

Tax Examiners from the Small Business/Self-Employed (SB/SE) Business Unit will have access to the data and they will be authenticated using their PIV and its corresponding PIN.

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 Automation in the SB/SE tenant in UiPath Assistant.

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 tasks or updates are performed. Maintenance tasks are inherited from the 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 Sequential 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 IEP SPLUNK and IEP SPLUNK is connected to IRS SPLUNK. Any logs going to IEP SPLUNK will be forwarded to IRS SPLUNK. Location for IEP SPLUNK is as follows: 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

Account Management Services (AMS)

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Enterprise Consolidated Legacy Access System (ECLAS)

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Integrated Data Retrieval System (IDRS)

Incoming/Outgoing
Both
Transfer Method
Application to Application (A2A)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

Business Taxpayer information is pulled from IDRS for corresponding TDI Transcripts that are open in AMS, business rules are checked for and appropriate action is taken to send out a letter/notice to the business taxpayer to send a return.

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

To identify and track any unauthorized accesses to sensitive and classified information and potential breaches.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Tax Administration - Examination

What is the GRS/RCS Item Number?

RCS 23 Item 2

What type of Records is this for?

Electronic

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

Contains correspondence with taxpayers, the field, and others on tax cases; instructions to the field; narrative reports; and related control cards (EXCEPT those records covered by the Subject Files in Item 1 of this Schedule). (Job No. N1-58-88-2, Item 2)

What is the disposition schedule?

Destroy when 6 years old.

- What is the Record Schedule System?
Record Control Schedule (RCS)
- What is the retention series title?
Enterprise Computing Center - XXXXXXXXXXXXX (ECC-XXX)
- What is the GRS/RCS Item Number?
RCS-19 Item number 29
- What type of Records is this for?
Electronic
- Please provide a brief description of the chosen GRS or RCS item.
Covers records created and maintained by the Enterprise Computing Center including those submitted to ECC-XXX as input documents for use in the performance of its mission which includes performance of master file operations of the tax administration system.
- What is the disposition schedule?
(1) Final updated tape for each calendar year. AUTHORIZED DISPOSITION Scratch after 6 months. (2) All other weekly updated tapes. AUTHORIZED DISPOSITION Scratch after successful completion of third update cycle.

Data Locations

- What type of site is this?
System
- What is the name of the System?
Account Management Services (AMS)
- What is the sensitivity of the System?
Federal Tax Information (FTI)
- What is the URL of the item, if applicable?
Account Management Services (AMS) is a one-stop shop utilized by tens of thousands of employees daily to assist taxpayers and resolve inquiries from multiple inventory streams.
- Please provide a brief description of the System.
Account Management Services (AMS) is a web application that displays information from Automation Collection System (ACSWeb). Once logged into Account Management Services (AMS), the Employer Identification Number (EIN) is read from the Open Cases Tab in Account Management Services (AMS) and is used to research in Integrated Data Retrieval System (IDRS) to analyze what kind of action needs to be taken on the open case.
- What are the incoming connections to this System?
Based on the results of the research performed in Integrated Data Retrieval System (IDRS) for an Employer Identification Number

(EIN), the open case in Account Management Services (AMS) is updated as closed with appropriate comments / remarks.

What are the outgoing connections from this System?

Based on the results of the research performed in Integrated Data Retrieval System (IDRS) for an Employer Identification Number (EIN), the open case in Account Management Services (AMS) is updated as closed with appropriate comments / remarks.

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?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

The Integrated Data Retrieval System (IDRS) manages data that was extracted from the Corporate Account Data Stores (Business Master File (BMF), Employee Plans Master File (EPMF), Individual Master File (IMF) and Corporate Accounts Data Engine (CADE)) allowing Internal Revenue Service (IRS) employees to take specific actions on taxpayer account issues, track status and post transaction updates back to the Master Files. It provides for systemic review of case status and notice issuance based on case criteria, alleviating staffing needs and providing consistency in case control.

Please provide a brief description of the System.

The Integrated Data Retrieval System (IDRS) manages data that was extracted from the Corporate Account Data Stores (Business Master File (BMF), Employee Plans Master File (EPMF), Individual Master File (IMF) and Corporate Accounts Data Engine (CADE)) allowing Internal Revenue Service (IRS) employees to take specific actions on taxpayer account issues, track status and post transaction updates back to the Master Files. It provides for systemic review of case status and notice issuance based on case criteria, alleviating staffing needs and providing consistency in case control.

What are the incoming connections to this System?

Databases like Business Master File (BMF), Employee Plans Master File (EPMF), Individual Master File (IMF) and Corporate Accounts Data Engine (CADE).

What are the outgoing connections from this System?

The outgoing connection from this system is Compliance Data Environment (CDE), which is a centralized, open-architecture automated information system which assists IRS employees in the identification, classification, and delivery of tax return information.

What type of site is this?

System

What is the name of the System?

Enterprise Consolidated Legacy Access System (ECLAS)

What is the sensitivity of the System?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

http://ea.web.irs.gov/aba/index.html?mainpageurl=SA/ea-panell_main-application_7279.htm

Please provide a brief description of the System.

Enterprise Consolidated Legacy Access System (ECLAS) is an undertaking to build and provide an Integrated Middleware, an Enterprise Services platform to access legacy data from mainframe systems.

What are the incoming connections to this System?

The Security and Communications System (SACS) system provides the tools that Cyber Security uses to manage security, communications, transaction logging of taxpayer data access and terminal management for thousands of Real-Time user terminals such as Integrated Data Retrieval System (IDRS) and Corporate Files online (CFOL). The Negative Taxpayer Identification Number System (NTINS) and IDRS Sensitive SSN (IDRS SSN) are also components of SACS.