

Date of Approval: 02/03/2025
Questionnaire Number: 1920

Basic Information/Executive Summary

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

EPE Query Report

Business Unit

Tax Exempt and Government Entities

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.

Background: Section 6417 of H.R. 5376, Inflation Reduction Act (IRA), Sec. 13801, Elective Payment for Energy Property and Electricity Produced from Certain Renewable Resources, etc., allows applicable entities to claim an elective payment election (EPE) for certain credits for taxable years beginning after December 31, 2022. Each week, the TE/GE office must generate a report and send it to tax law specialists to obtain counts and validate organizations that have filed the 990-T with an EPE. Summary: The IT RPA Program is developing an Unattended RPA solution for the TE/GE office that seeks to automate the above manual process of 1). Extracting Elective Payment Election (EPE) data via SQL query 2). Generating MS excel report and 3). Distributing the report to designated tax specialists. The business objectives and benefits expected by the EPE Query Reports business process team after automation are:

- Automate data extraction to reduce time to complete manual data querying and report generation.
- Increased Time efficiency and accuracy

- Improved Customer Service

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).

In this unattended automation, an IEP hosted Service Account will be leveraged to query the Return Information Compliance System (RICS) DB2 database to obtain counts and validate organizations that have filed the 990-T with an Elective Payment Election (EPE). The automation will access the database using assigned credentials, query the required EPE information and export and format data into MS excel file. The file will be saved to TE/GE SharePoint location and emailed out to authorized users via MS Outlook.

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

Address

Document Locator Number (DLN)

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

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 EPE Query Report automation is being built by IT RPA program for TE/GE business users. Elective Payment for Energy Property and Electricity Produced from Certain Renewable Resources, etc., allows applicable entities to claim an Elective Payment Election (EPE) for certain credits for taxable years beginning after December 31, 2022. Each week, the TE/GE office must generate a report and send it to tax law specialists to obtain counts and validate organizations that have filed the 990-T with an Elective Payment Election. This project seeks to automate the manual EPE data extraction and report generation tasks completed by the TE/GE office.

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.

Return Information Compliance System (RICS) DB2 Database; UiPath Orchestrator

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 usage of this automation requires the extraction and formatting of Elective Payment Elections data into a report and then emailed out to tax specialists. The data this automation will need to extract includes data from form 990T (EIN, Tax Period, MFT Code, Name, Address, and Federal Tax Information related to EPEs). This automation will only be used to query the RICS DB and extract the data and save it on TE/GE common drive. No SBU/PII/FTI data will be kept/stored by the automation outside of the TE/GE common drive that is already being used to store this information. Additionally, not data will be manipulated/changed/updated by this automation.

6 Is your RPA Attended/Unattended?

Unattended. Using UiPath, this automation will use a DB2 Service Account to access and extract EPE data, format it into MS excel Report, and email contents to TE/GE specified users. This automation will be scheduled to run weekly (Monday morning).

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.

TE/GE office currently sends a weekly report out every Monday morning to tax law specialists to obtain counts and validate organizations that have filed the 990-T with an Elective Payment Election as well as transactions connected to refund payments. This requires data extraction via SQL query and manual configuration of MS Excel report.

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

This is classified as a Low Complexity automation and OneSDL documentation is being completed as per AD RPA Program and IT guidelines.

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 connection to the RPA process is interdependent on a service account for authentication and setting up a custom driver implementation to communicate to the DB2P database.

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

The following people have access to this application - IRS Authorized Users (Read & Write), Contractors Authorized to execute the application (Read & Write).

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.

The Business owner makes the determination on who has access to SBU/PII data by the automation. The RICS DB system utilizes the Business Entitlement Access Request System (BEARS) application to document approvals for access.

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.

This automation is being built and maintained by the IT RPA (UiPath Platform) team. IT RPA will be responsible for any O&M defects, system updates, maintenance, etc. as needed.

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.)

This RPA 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

Return Information Compliance System (RICS) Database

Incoming/Outgoing

Both

Transfer Method

Other

Other Transfer Method

Data extraction using SQL Query is being used to generate MS excel report for dissemination to authorized users via email.

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 Tax Information is pulled from the RICS DB to extract relevant data on organizations that have filed 990-T with an Elective Payment Election.

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 - TAX EXEMPT AND GOVERNMENT ENTITIES (TE/GE)

What is the GRS/RCS Item Number?

24

What type of Records is this for?

Electronic

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

RCS 24 Item 82

What is the disposition schedule?

The general disposition for data on RICS is 7 years.

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?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

https://devtest-uipath.as.opr.afsiep.net/Development/portal_/home

Please provide a brief description of the System.

UiPath Orchestrator is a web-based application that acts as the central hub for managing and automating processes in an RPA (Robotic Process Automation) environment. It helps orchestrate, schedule, and monitor robots, manage workflows, and handle exceptions.

What are the incoming connections to this System?

The UiPath Orchestrator will have an incoming connection to the RICS DB to query EPE information needed for the automation.

The UiPath Orchestrator will store automation run information (start time, stop time, etc.). Queried EPE data will be stored in TE/GE share drive and not in UiPath.

What are the outgoing connections from this System?

UiPath Orchestrator passes the EPE query data into the TE/GE shared drive. Queried EPE data will be stored in TE/GE share drive and not in UiPath.

What type of site is this?

Shared Drive

What is the name of the Shared Drive?

TE/GE CPC IISR Shared Drive

What is the sensitivity of the Shared Drive?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

S:\CPC\IISR\Research\Projects\EPE Query Report
990T\Gray\Output

Please provide a brief description of the Shared Drive.

EPE Query data is exported from the RICS DB and downloaded into shared drive onto user's local machine for the duration of the run.

What are the incoming connections to this Shared Drive?

EPE Query Report downloaded on to users local machine.