

Date of Approval: 12/23/2025  
Questionnaire Number: 2691

## Basic Information/Executive Summary

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

EST IRMOD Taxpayer Portal

Business Unit

Information Technology

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.

Robotic Process Automation (RPA): - Title: Enterprise System Testing (EST) Information Returns Modernization (IRMOD) Taxpayer Portal Initiative  
Automation Owner: Information Returns Modernization - Supports: IRS Digitization and Modernization Effort (DME). - Systems: Outlook mail server, Taxpayer Portal, MS Excel, SharePoint - PII Required: Yes (name, email address and System Identifier (SEID)). - Process: The automation will execute test scripts in UiPath against the 68-70 identified test cases to validate the Information Returns Modernization (IRMOD) Taxpayer portal's functionality for submitting "information return forms" and navigating the main functions of the Taxpayer Portal. The transmission data will be fed to the automation in an excel sheet or a JavaScript Object Notation (JSON) file with Taxpayer Identification Number (TIN) information. The automation will run regression testing to ensure that users can start new forms, view unsubmitted forms, upload Comma-Separated Values (CSV) files with data, view submitted forms, request automatic extensions, access the help desk, and the issuer management pages from within the portal. The

output will be an excel file containing transmission statuses and error codes, if any, stored on the user's personal computer (PC) for manual examination of errors. The output will be stored on local personal computer (PC), though it is possible it would be stored in SharePoint. The automation tester of the team will have access to the output.

## **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 automation embeds privacy controls at every stage. The data is minimized at collection, protected by encryption during transmission, accessed only by authorized personnel for a specific purpose, retained for a defined period, and destroyed securely. This end-to-end management ensures the Internal Revenue Service fulfills its mission while upholding its fundamental obligation to protect taxpayer privacy.

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

Email Address

Employer Identification Number

Individual Taxpayer Identification Number (ITIN)

Name

Preparer Taxpayer Identification Number (PTIN)

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

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

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

PII for personnel administration - 5 USC

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?  
IRS Digitization and Modernization Effort (DME)

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.)

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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 mail server, Taxpayer Portal, MS Excel, SharePoint

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 project requires the use of sensitive data, specifically Federal Tax Information (FTI) and Personally Identifiable Information (PII), The automation will execute test scripts in UiPath against the 68-70 identified test cases to validate the Information Returns Modernization (IRMOD) Taxpayer portal's functionality for submitting "information return forms" and navigating the main

functions of the Taxpayer Portal. The transmission data will be fed to the automation in an excel sheet or a JavaScript Object Notation (JSON) file with TIN information. The automation will run regression testing to ensure that users can start new forms, view unsubmitted forms, upload Comma-Separated Values (CSV) files with data, view submitted forms, request automatic extensions, access the help desk, and the issuer management pages from within the portal. The output will be an excel file containing transmission statuses and error codes, if any, stored on the user's personal computer (PC) for manual examination of errors.

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.

This automation will focus on running the regression test scripts that test the Taxpayer Portal (UI) on UiPath to save time and labor to run the regression

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 level of complexity for this project is classified as "Medium", and it is required to register with One Solution Delivery Lifecycle (OneSDLC).

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.

This automation handles logging into SharePoint, and the Taxpayer Portal. It uses the User Interface (UI) for this purpose.

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

As a pre-requisite, authorized users will be required to have an already approved Business Entitlement Access Request System (BEARS) to access the UiPath applications, SharePoint, and the Taxpayer Portal.

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.

As a pre-requisite, authorized users will be required to have an already approved Business Entitlement Access Request System (BEARS) to access the 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.

The automation is using UiPath Platform. 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, 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. 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

SharePoint

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

## **Interface Type**

IRS Systems, file, or database

Agency Name

Information Returns Modernization (IRMOD) Taxpayer Portal

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

## **Interface Type**

IRS Systems, file, or database

Agency Name

MS Excel

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

## **Interface Type**

IRS Systems, file, or database

Agency Name

Microsoft Structured Query Language (mssql) database

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

## **Interface Type**

IRS Systems, file, or database

Agency Name

UiPath

Incoming/Outgoing

Both

Transfer Method  
Secured channel via HTTPS

**Interface Type**  
IRS Systems, file, or database

Agency Name  
GitHub

Incoming/Outgoing  
Both

Transfer Method  
Secured channel via HTTPS

**Interface Type**  
IRS Systems, file, or database

Agency Name  
Outlook Mail Server

Incoming/Outgoing  
Both

Transfer Method  
Secured channel via HTTPS

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

### **SORN Number & Name**

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

Maintenance of records relating to employee's personnel actions and records (PAR) and personal information while employed in federal service.

### **SORN Number & Name**

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

The audit logs capture the identity of the user using the Robotic Processing Automation (RPA), the time and date of access to Project Tracking System (PTS) and the Integrated Financial System (IFS) and all the user's activity while using the Robotic Processing Automation (RPA).

# Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

3.1: General Technology Management Records

What is the GRS/RCS Item Number?

011

What type of Records is this for?

Electronic

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

System development records. These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation.

What is the disposition schedule?

Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/ information technology (IT) administrative purposes, but longer retention is authorized if required for business use.

# Data Locations

What type of site is this?

System

What is the name of the System?

MS Excel

What is the sensitivity of the System?

Sensitive But Unclassified (SBU)

Please provide a brief description of the System.

Microsoft Excel is a spreadsheet software application

What are the incoming connections to this System?

Excel is receiving input from the business users updating the excel files. At the end of the process excel will be used to generate an output file containing transmissions statuses and error codes.

What are the outgoing connections from this System?

Excel data, provided by the business users, is being pulled into UiPath. At the end of the process excel will be used to generate an output file containing transmissions statuses and error codes.

What type of site is this?

Data Gateway

What is the name of the Data Gateway?

Splunk

What is the sensitivity of the Data Gateway?

Sensitive But Unclassified (SBU)

What is the URL of the item, if applicable?

<https://laco-irs.mgt.afsiep.net/>

Please provide a brief description of the Data Gateway.

Splunk is an extensible data platform designed to collect, index, and analyze machine-generated data at massive scale. This includes logs, metrics, and other forms of data from various sources like applications, servers, network devices, and more.

What are the incoming connections to this Data Gateway?

The Integrated Enterprise Portal (IEP) Splunk system (a log management tool hosted at <https://loco-irs.mgt.afsiep.net/>) primarily receives UiPath audit logs, which are originally stored in an MS SQL database before being sent to Splunk.

What are the outgoing connections from this Data Gateway?

This automation connects to UiPath Orchestrator and GitHub and uses the login credentials of the user to log into this application using the built-in internal Application Programming Interface (API). It does not save any login credentials for future use.