

Date of Approval: 05/23/2025
Questionnaire Number: 2277

Basic Information/Executive Summary

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

Forms Generator-SCI Discontinue Package

Business Unit

Criminal Investigation

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.

Forms Generator- Subject Criminal Investigation (SCI) Discontinue Package is an enhancement to the Forms Generator-SCI process. This enhancement will be an attended Robotic Process Automation (RPA) solution and is owned by Criminal investigation (CI). As part of this RPA, the only individual(s) that have access to the data that is captured throughout this automation are the Special Agent/and or Supervisory Special Agent assigned to the specific Discontinue package investigation. To access this attended automation, the Special Agent or Supervisory Special Agent will need access to a CI-issued laptop and CI entitlements for UiPath Assistant. Once the automation is run, the Agent selects which Discontinue Package forms they want the bot to process, and the bot then, using the Agent's credentials, opens Criminal Investigation Management Information System (CIMIS), queries for the information needed for the forms selected, copies CIMIS data into the form(s), and then the Agent selects where the form is saved on their CI laptop. As far as the Discontinue Package process itself, based on the source of an investigation the Special Agent will conduct a

preliminary investigation, either tax investigation (title 26) or non-tax. If a potential violation is found during preliminary investigation it is elevated to subject investigation for further Investigation by the Special Agent. Otherwise, if nothing is found, the investigation will discontinue at the preliminary investigation or the subject investigation. The Discontinue Package current manual process involves the Special Agent using their CI credentials on their laptop to access CIMIS, query for required data within CIMIS to fill out the Discontinue Package of forms and then copy that CIMIS data into the Microsoft Word or Adobe Acrobat form that is then completed and saved on their CI-issued laptop. Criminal Investigation would like to have this process automated via this automation. Potential PII that the bot may access in CIMIS, which is dependent on the Discontinue Package form(s) the Agent selects to process, may include Address, Adoption Taxpayer Identification Number (TIN), Agency Sensitive Information, Alien Registration Number, Centralized Authorization File (CAF), Citizenship or Migration Status, Criminal Investigation Information, Email Address, Employer Identification Number (EIN), Employment Information, Family Members, Federal Tax Information (FTI), Financial Account Number, Individual Taxpayer Identification Number (ITIN), Date of Birth (DOB), Driver License Info, Language, Name, Official Use Only (OUO) or Limited Office Use (LOU), Passport Number, Preparer Taxpayer Identification Number (PTIN), Protected Information, Social Security Number (SSN, including masked or last four digits), Standard Employee Identifier (SEID), Tax ID Number, Telephone Numbers, and Vehicle Identification Number (VIN). All aspects of this automation including inputs and outputs are stored on the CI Special Agent's CI-issued laptop throughout the entire attended automation run. The benefits expected by the CI team include reducing manual time required to complete each CI form, automate the data retrieval from CIMIS process to reduce the frequency of human error through manual data entry, and increase time for Special Agents to focus on higher priority tasks.

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 uses data that is contained locally on the CI Special Agent's CI-issued laptop. The data is collected via the user's credentials within Criminal Investigation Management Information System (CIMIS) and copied into a local PDF or Microsoft Word document on the Agent's laptop. The rest of the form is processed by the Agent on their local machine. After the automation completes its

data extraction for the subject Criminal Investigation the Special Agent is investigating, all temporary files, and their respective data, are removed. This process occurs through the system/user interface.

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

- Address
- Adoption Taxpayer Identification Number
- Agency Sensitive Information
- Alien Registration Number
- Centralized Authorization File (CAF)
- Citizenship or Migration Status
- Criminal Investigation Information
- Driver's License Number
- Email Address
- Employer Identification Number
- Employment Information
- Family Members
- Federal Tax Information (FTI)
- Financial Account Number
- Individual Taxpayer Identification Number (ITIN)
- Language
- Name
- Official Use Only (OUO) or Limited Office Use (LOU)
- Other
- Passport Number
- Preparer Taxpayer Identification Number (PTIN)
- Protected Information
- Social Security Number (including masked or last four digits)
- Standard Employee Identifier (SEID)
- Tax ID Number
- Telephone Numbers
- Vehicle Identification Number (VIN)

Please explain the other type(s) of PII that this project uses.

- Date of Birth, Requesting Agent Name, Requesting Agent Phone Number, Requesting Agent Address

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

- Information by CI for certain money laundering cases - 18 USC
- PII about individuals for Bank Secrecy Act compliance - 31 USC
- PII for federal tax administration - generally IRC Sections 6001 6011 or 6012
- PII for personnel administration - 5 USC
- SSN for personnel administration IRS employees - 5 USC and Executive Order 9397
- 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?

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.)

Forms Generator- Subject Criminal Investigation (SCI) Discontinue Package is an enhancement to the Forms Generator-SCI process. This enhancement will be an attended Robotic Process Automation (RPA) solution and is owned by Criminal investigation (CI). As part of this RPA, the only individual(s) that have access to the data that is captured throughout this automation are the Special Agent/and or Supervisory Special Agent assigned to the specific Discontinue package investigation. To access this attended automation, the Special Agent or Supervisory Special Agent will need access to a CI-issued laptop and CI entitlements for UiPath Assistant. Once the automation is run, the Agent selects which Discontinue Package forms they want the bot to process, and the bot then, using the Agent's credentials, opens Criminal Investigation Management Information System (CIMIS), queries for the information needed for the forms selected, copies CIMIS data into the form(s), and then the Agent selects where the form is saved on their CI laptop. As far as the Discontinue Package process itself, based on the source of an investigation the Special Agent will conduct a preliminary investigation, either tax investigation (title 26) or non-tax. If a potential violation is found during preliminary investigation it is elevated to subject investigation for further Investigation by the Special Agent. Otherwise, if nothing is found, the investigation will discontinue at the preliminary investigation or the subject investigation. The Discontinue Package current manual process involves the Special Agent using their CI credentials on their laptop to access CIMIS, query for required data within CIMIS to fill out the Discontinue Package of forms and then copy that CIMIS data into the Microsoft Word or Adobe Acrobat form that is then completed and saved on their CI-issued laptop. Criminal Investigation would like to have this process automated via this automation. Potential PII that the bot may access in CIMIS, which is dependent on the Discontinue Package form(s) the Agent selects to process, may include Address, Adoption Taxpayer Identification Number (TIN), Agency Sensitive Information, Alien Registration Number, Centralized Authorization File (CAF), Citizenship or Migration Status, Criminal Investigation Information, Email Address, Employer Identification Number (EIN), Employment Information, Family Members, Federal Tax Information (FTI), Financial Account Number, Individual Taxpayer Identification Number (ITIN), Date of Birth (DOB), Driver License Info, Language, Name, Official Use Only (OUO) or Limited Office Use

(LOU), Passport Number, Preparer Taxpayer Identification Number (PTIN), Protected Information, Social Security Number (SSN, including masked or last four digits), Standard Employee Identifier (SEID), Tax ID Number, Telephone Numbers, and Vehicle Identification Number (VIN). All aspects of this automation including inputs and outputs are stored on the CI Special Agent's CI-issued laptop throughout the entire attended automation run. The benefits expected by the CI team include reducing manual time required to complete each CI form, automate the data retrieval from CIMIS process to reduce the frequency of human error through manual data entry, and increase time for Special Agents to focus on higher priority tasks.

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.

IRS IT systems this automation will apply to include CIMIS, IT RPA UiPath Orchestrator, UiPath Assistant, Microsoft Word, Adobe Acrobat.

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 automation requires the extraction and population of Criminal Investigation Management Information System (CIMIS) data into Criminal Investigation (CI) Discontinue Package forms that the Special Agent selects. As a result of the needs of the CI business unit, the automation will process sensitive data that is related to each subject Criminal Investigation and its assigned Case Number. The data this automation will query for is similar throughout each template, but could include the following, depending on what specific template(s) the Special Agent selects for the automation to process: Case Name, Investigation Number, Subject Name, Subject Address, Requesting Agent Name, Requesting Agent Phone Number and Address, Adoption Taxpayer Identification Number, Agency Sensitive Information, Alien Registration Number, Centralized Authorization File (CAF), Citizenship or Migration Status, Criminal Investigation Information, Email Address, Employer Identification Number, Employment Information, Family Members, Federal Tax Information (FTI), Financial Account Number, Individual Taxpayer Identification Number (ITIN), Date of Birth, Driver License Info, Language, Name, Official Use Only (OUO) or Limited Office Use (LOU), Passport Number, Preparer Taxpayer Identification Number (PTIN), Protected Information, Social Security Number (including masked or last four digits), Standard Employee Identifier (SEID), Tax ID Number, Telephone Numbers, Vehicle Identification Number (VIN). The automation will only be used to query for the above data that is found within CIMIS and extract the data to populate the CI template/form in the necessary fields that are marked for the automation to pull into. No SBU/FTI/PII will be kept/stored by the automation outside of the agent's

local drive that is already being used to store investigation case information on the Agent's local machine. Additionally, data will not be manipulated/changed/updated by this automation.

6 Is your RPA Attended/Unattended?

This will be an attended automation.

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.

Based on the source of an investigation, the Special Agent will conduct a preliminary investigation--either a tax investigation (title 26) or non-tax. If potential violation is found during preliminary investigation, it is then elevated to subject investigation for further Investigation by the Special Agent. Otherwise, the investigation will discontinue at the preliminary investigation or the subject investigation. The Discontinue Investigation is the part of the process the business unit would like to automate. The Special Agent will manually input the subject's name, DOB, SSN, address, businesses, years under investigation, violations, and allegation in CIMIS. Then will complete Discontinue Criminal Investigation (DISCO) package. The DISCO package include forms in PDF and Word format outside of CIMIS. The Special Agent used the information entered in CIMIS to complete the forms.

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.

This process has been identified as a medium complexity automation, and it has been registered with 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.

The connection to this RPA is interdependent on the user's credentials to execute the automation. This means that for the RPA attended bot to run, the Criminal

Investigation (CI) user will need to be logged into their CI computer, open up UiPath Assistant, and have CI-specific production access approved via BEARS entitlements. Additionally, the CI user will need specific access to the CI UiPath tenant to run the automation successfully. The Special Agent will also need access to CIMIS. Once the CI user has access to these CI-specific entitlements and provisions, the user can run the automation, select which CI forms they need for a particular subject Criminal Investigation, and then they will enter a Case Number for the attended automation to use to access the needed Criminal Investigation details within CIMIS that are needed for the specific form(s) the agent selected for the automation to complete.

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 CI authorized users and IRS CI approved contractors authorized to execute the application.

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 for this automation. BEARS entitlements are needed for access to the CI UiPath tenant and for the CI production environments.

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 Operation & Management (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 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 mssql (Microsoft SQL Server) 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

Forms

Agency Name

Memo-Civil Function Prime Lead Referral

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Memo to SAC from SSA to Not Contact Subject

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Letter-to USAO Disco GJ

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Letter-Grand Jury Discontinued Inv Report with Letterhead

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Report-Grand Jury Discontinued Investigation Report

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Letter-USA Transmittal of Discontinued Investigation

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Memo-Return Preparer for Civil Action

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Letter-to DOJ Disco GJ

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Form 10273-Discontinued Investigation Report

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Memo to Office of Professional Responsibility

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Form 13308 CI Closing Report

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Memo- Primary Evaluation

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Letter-to Subject Advising Disco

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Memo-Whistleblower-Claim-Closing-Transmittal

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Form-CIMIS Accuracy Review Sheet

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Admin Discontinued Investigation Report

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

Forms

Agency Name

Form 4135 Criminal Investigation Notice

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Systems of Records Notices (SORNs)

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.

SORN Number & Name

IRS 46.050 - Automated Information Analysis System

Describe the IRS use and relevance of this SORN.

Helps identify Process Records

SORN Number & Name

IRS 46.005 - Electronic Surveillance and Monitoring Records

Describe the IRS use and relevance of this SORN.
Maintain and analyze criminal non-compliance

SORN Number & Name

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

General Personnel and Payroll was updated to provide a non-exclusive list of the categories of records included under the broad category of general personnel and payroll records.

SORN Number & Name

IRS 46.002 - Criminal Investigation Management Information System and Case Files

Describe the IRS use and relevance of this SORN.

RPA uses CIMIS for read only of data to fill out the specific PDF/Microsoft Word form the CI Special Agent selects for the automation to complete.

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

Taxpayer/Criminal investigation related information is pulled from Criminal Investigation Information Management System and extracted into applicable Criminal Investigation templates/forms for Subject Criminal Investigations.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Investigative Files and Related Records

What is the GRS/RCS Item Number?

RCS 31 Item 41

What type of Records is this for?

Both (Paper and Electronic)

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

Prosecution (including Grand Jury), non-prosecution, preliminary, and discontinued investigations (including withdrawal reports and case summary reports - Forms 7691 and 7691A)

What is the disposition schedule?

AUTHORIZED DISPOSITION Destroy 10 years after case is closed. (B) Area Office. Records retained by Area Office type

organizations or offices in the field below the Area Office type organizational level. AUTHORIZED DISPOSITION Destroy 10 years after case is closed. (C) Headquarters Office. Records retained by Assistant Regional Commissioner for Criminal Investigation organization at the Central Office level. AUTHORIZED DISPOSITION Destroy 10 years after case is closed. (D) Case Control Cards, Indexes, and Related Records. AUTHORIZED DISPOSITION Superseded by Job No. DAA-0058-2019-0003 for Criminal Investigation Information Management System (CIMIS). See Item 77 in this Schedule. Note: Pre-CIMIS collections of control cards and indexes may be destroyed immediately if further retention is determined by Criminal Investigation Division to be unnecessary.

Data Locations

What type of site is this?

System

What is the name of the System?

Criminal Investigation Management Information System (CIMIS)

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System.

CIMIS contains Criminal Investigation case information and data and is the database Special Agents in CI use to gather data and information when conducting a criminal investigation.

What are the outgoing connections from this System?

Data from CIMIS is used to populate CI forms in Microsoft Word and Adobe Acrobat.

What type of site is this?

System

What is the name of the System?

SPLUNK

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

What is the URL of the item, if applicable?

<https://laco-irs.mgt.afsiep.net/> Index: service_fabric_prod Source: rancher:uipath:audit

Please provide a brief description of the System.

SPLUNK is a monitoring platform to collect logs, metrics, and events. The system is used to troubleshoot issues, security threats, and performance

What are the incoming connections to this System?

Logs containing bot performance, anomalies, etc. are sent to SPLUNK from UiPath Assistant.

What type of site is this?

System

What is the name of the System?

UiPath Assistant

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System.

UiPath Assistant is UiPath's application for end users to test various RPA projects, and for users to run attended automations. It is an application installed on the CI-issued laptop for CI agents to access, and where they will run this attended automation.

What are the incoming connections to this System?

CIMIS

What are the outgoing connections from this System?

Microsoft Word, Adobe Acrobat