

Date of Approval: 11/10/2025  
Questionnaire Number: 2667

## Basic Information/Executive Summary

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

FOIA Intake and Responsive Docs

Business Unit

Privacy, Governmental Liaison and Disclosure

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.

The Information Technology Robotic Process Automation (IT RPA) program is working with Privacy, Governmental Liaison and Disclosure (PGLD) to automate the current manual Freedom of Information Act (FOIA) Intake and Responsive Documents process. Currently, PGLD Support users must manually review FOIA related correspondence documents and input data into the FOIAXpress system.

This project seeks to automate this process using UiPath to extract relevant data from the FOIA correspondence and automatically enter the relevant data into the system.

The automation will be designed to 1) navigate to PGLD share drive, 2) grab Intake and Responsive Docs files, 3) extract required information, and 4) input extracted data into FOIAXpress cases associated to relevant requesters.

Benefits: Improved time efficiency allowing collection representatives to work on more complex tasks, Faster information extraction, Increased data accuracy.

The following business objectives are expected to be achieved with the successful completion of this project: The system shall provide the ability to automatically retrieve applicable data required for successful case processing.

## 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, using user credentials, will access Freedom of Information Act correspondence related to New and existing requests that are located in the PGLD share drive location. Upon accessing these documents, the automation will be used to extract relevant data fields required for submission into the FOIAXpress Case Management system. Once data has been extracted from each document, the file will be uploaded into FOIAXpress as well. The original document will remain stored in the PGLD Share Drive. No data will be stored within UiPath.

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

Address

Agency Sensitive Information

Employer Identification Number

Federal Tax Information (FTI)

Name

Social Security Number (including masked or last four digits)

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 a specific initiative or process improvement?

Yes

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

Privacy, Governmental Liaison and Disclosure (PGLD)

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.)

Robotic Process Automation (RPA): - Title: FOIA Intake and Responsive Docs - Business Unit Owner: PGLD - Supports: IRS Digitization and Modernization Effort (DME) - Systems: FOIA XPress, File Explorer - PII Required: Yes (name, address, phone number, SSN, EIN, Federal Tax Information). - Process: The Information Technology Robotic Process Automation (IT RPA) program is working with Privacy, Governmental Liaison and Disclosure (PGLD) to automate the current manual Freedom of Information Act (FOIA) Intake and Responsive Documents process. Currently, PGLD Support users must manually review FOIA related correspondence documents and input data into the FOIAXpress system. This project seeks to automate this process using UiPath to extract relevant data from the FOIA correspondence and automatically enter the relevant data into the system. The automation will be designed to 1) navigate to PGLD share drive, 2) grab Intake and Responsive Docs files, 3) extract required information, and 4) input extracted data into FOIAXpress cases associated to relevant requesters.

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.

The automation connects to the FOIA Case Management System (FOIAXpress); 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 purpose of this automation is to extract data fields needed for processing FOIA requests and cases. This data includes taxpayer PII, including Names, Addresses, Phone Numbers, TIN (SSN, EIN). Additional information related to FOIA requests include fee details and department office information is included as well.

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, PGLD Support users must manually review FOIA related correspondence documents and input data into the FOIAXpress system. This project seeks to automate this process using UiPath to extract relevant data from the FOIA correspondence and automatically enter the relevant data into the system. The automation will be designed to 1) navigate to PGLD share drive, 2) grab Intake and Responsive Docs files, 3) extract required information, and 4) input extracted data into FOIAXpress cases associated to relevant requesters.

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 is classified as a Medium Complexity automation and One Solution Delivery Lifecycle (OneSDLC) documentation is being completed as per Information Technology Robotic Process Automation (IT RPA) Program and IT guidelines.

9 Will connections or interdependencies be established for this RPA?

No

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

As an Attended automation, this project will utilize the existing credentials of the users currently completing these tasks manually. Access to run this automation will be provided to existing employees that already have access to the required data. The following people have access to this automation - IRS Authorized Users (Read & Write), Contractors Authorized to execute the application (Read & Write). This automation requires access to FOIAXpress and UiPath. Access to both systems are requested via Business Entitlement Access Request System (BEARS). Data access is granted on a need-to-know basis. The BEARS enrollment process requires that an authorized manager approve access requests on a case-by-case basis. Access approval is based on the Users role(s) and responsibilities. Users are given the minimum set of privileges required to perform their regular and recurring work assignments; they are restricted from changing the boundaries of their access without management approval. Write, Modify, Delete, and/or Print) are defined on BEARS and set (activated) by the System Administrator prior to the user being allowed access. User privileges and user roles determine the types of data that each user has access to. Management monitors system access and removes permissions when individuals no longer require access.

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.

Approved BEARS entitlements are required in order to access both FOIAXpress and the UiPath Assistant software required to run the automation.

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 & Maintenance (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 database. UiPath also provides an integration to external log products like SPLUNK. 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.

## Interfaces

### Interface Type

IRS Systems, file, or database

### Agency Name

FOIAXpress

### Incoming/Outgoing

Outgoing (Sending)

### Transfer Method

Secure Data Transfer (SDT)

**Interface Type**

IRS Systems, file, or database

**Agency Name**

PGLD Share Drive

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Secure Data Transfer (SDT)

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

**SORN Number & Name**

Treasury .004 - Freedom of Information Act/Privacy Act Request Records

Describe the IRS use and relevance of this SORN.

Freedom of Information Act/Privacy Act Request Records has been amended to include the Internal Revenue Service (IRS), to facilitate the disclosure of non- tax information to The Office of Government Information Services (OGIS) within the National Archives and Records Administration in accordance with routine use, “(10) To the National Archives and Records Administration, Office of Government Information Services (OGIS), to the extent necessary to fulfill its responsibilities in 5 U.S.C. 552(b), to review administrative agency policies, procedures and compliance with the Freedom of Information Act (FOIA), and to facilitate OGIS’ offering of mediation services to resolve disputes between making FOIA requests and administrative agencies.” This project will be used to automated the processing of FOIA requests into the IRS.

## **Records Retention**

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

GENERAL RECORDS SCHEDULE 4.2: Information Access and Protection Records

What is the GRS/RCS Item Number?

020

What type of Records is this for?

Both (Paper and Electronic)

Please provide a brief description of the chosen GRS or RCS item.  
Access and disclosure request files.

What is the disposition schedule?

Temporary. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

INTERNAL REVENUE SERVICE RECORDS CONTROL  
SCHEDULE (RCS) 8 ADMINISTRATIVE AND  
ORGANIZATIONAL RECORDS

What is the GRS/RCS Item Number?

53

What type of Records is this for?

Both (Paper and Electronic)

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

Freedom of Information Act Request Files (FOIA). Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of the requested record or copy thereof.

What is the disposition schedule?

Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

INTERNAL REVENUE SERVICE RECORDS CONTROL  
SCHEDULE (RCS) 14 OFFICE OF CHIEF COUNSEL

What is the GRS/RCS Item Number?

5

What type of Records is this for?

Both (Paper and Electronic)

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

Freedom of Information Act [FOIA], Privacy Act, and I.R.C. Â§ 6110 Request Files. (a) The incoming letters from requesters, search memoranda, responsive records and work papers arising out of the processing of these requests for records under the FOIA

What is the disposition schedule?

Destroy block after 6 years.

What is the Record Schedule System?  
General Record Schedule (GRS)

What is the retention series title?  
GENERAL RECORDS SCHEDULE 4.2: Information Access and Protection Records

What is the GRS/RCS Item Number?  
001

What type of Records is this for?  
Both (Paper and Electronic)

Please provide a brief description of the chosen GRS or RCS item.  
FOIA, Privacy Act, and classified documents administrative records.

What is the disposition schedule?  
Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.

## Data Locations

What type of site is this?  
Shared Drive

What is the name of the Shared Drive?  
PGLD ShareDrive

What is the sensitivity of the Shared Drive?  
Sensitive But Unclassified (SBU)

Please provide a brief description of the Shared Drive.  
The PGLD team uses this ShareDrive to store incoming FOIA requests documentation for processing and archival purposes.

What are the incoming connections to this Shared Drive?  
All documents within this Share Drive are manual placed by PGLD team members with proper access to it.

What are the outgoing connections from this Shared Drive?  
This automation will be used to extract files from this Shared Drive for input into FOIAXpress.

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://devtest-uipath.as.opr.afsiep.net/Development/portal\\_/home](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 store automation run information (start time, stop time, etc.). Extracted data from FOIA files will be processed and stored in FOIAXpress. No data will be permanently stored in UiPath.

What are the outgoing connections from this System?

UiPath Orchestrator passes the extracted data into FOIAXpress. No data will be permanently stored in UiPath.

What type of site is this?

System

What is the name of the System?

FOIAXpress

What is the sensitivity of the System?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

<https://labfoiaexpress.int.for.irs.gov/FOIAXpress/UserHome.aspx>

Please provide a brief description of the System.

FOIAXpress is the Case Management System used by PGLD team members to process FOIA requests for the IRS.

What are the incoming connections to this System?

The automation will be uploading information into the system using user credentials.

What are the outgoing connections from this System?

This automation will not be used to extract any information from FOIAXpress.