

Date of Approval: 03/24/2025
Questionnaire Number: 2082

Basic Information/Executive Summary

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

IDRS Transaction Code Searcher

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.

Revenue Officers are required to query IDRS for the required transaction codes to determine if levies, 3rd party contacts & suit filings are appropriate. A levy is when the IRS manually pulls owed tax money out of delinquent taxpayer bank accounts. This automation will query those individuals that need to be notified of their delinquent taxes. This automation will interface with IDRS using the existing ECLAS API.

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 IDRS Transaction Code Searcher is used to research cases in IDRS. The report captures taxpayers' social security numbers/TINS provided by the revenue officers and inputs in the IDRS system to look up specific transaction codes related to levy generation. It then generates a report and works in locally on the user workstation for review by the Revenue officer.

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

Federal Tax Information (FTI)

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 the Inflation Reduction Act (IRA)?

Yes

1.1 What is the IRA Initiative Number?

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.)

Robotic Process Automation (RPA): - Title: IDRS Transaction Code Searcher. - Owner: Small Business/Self Employed Business Unit. - Supports: IRS Digitization and Modernization Effort (DME). - Systems: Application and Integrated Data Retrieval System (IDRS). - PII Required: Yes (SSNs). - Process: Automates IDRS Transaction Code related to levy generation.

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.

Integrated Data Retrieval System (IDRS)

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 IDRS Transaction Code Searcher is used to research cases in IDRS. The report captures taxpayers' social security numbers/TINS provided by the revenue officers and inputs in the IDRS system to look up specific transaction codes related to levy generation. It then generates a report and works in locally on the user workstation for review by the Revenue officer.

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.

Before a levy is issued a revenue officer manually verifies LT 11 and/or LT40 notification letters were sent to the taxpayer by checking IDRS for the posting of the Transaction Codes 971 069 and 971 611 to the taxpayer's account. This automation will replace this manual process.

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.

Medium complexity project and 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 automation will access the IDRS application using the operating revenue officer's credentials.

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

Revenue Officers (RO) with already authorized and approved Business Entitlement Access Request System (BEARS) entitlements required for Automated Underreporter (AUR) and Integrated Data Retrieval System (IDRS) 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.

Yes. As a prerequisite, users of the RPA automation are expected to have already approved BEARS entitlements are required for access the Integrated Data Retrieval System (IDRS) application.

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.

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, 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

Enterprise Consolidated Legacy Access System (ECLAS)
(Backend API)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

RPA will be connected to Integrated Data Retrieval System (IDRS) to verify if Transaction Codes 971/069 and/or 971/611 are present on the taxpayer's account.

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

RPA will be connected to Integrated Data Retrieval System (IDRS) to verify if Transaction Codes 971/069 and/or 971/611 are present on the taxpayer's account.

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 revenue officer using the RPA, the time and date of access to IDRS and all the revenue officer's activity while using the RPA.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

IRS Electronic Tax Administration ARTICLE 32

What is the GRS/RCS Item Number?

RCS 32, item 31(B)

What type of Records is this for?

Both (Paper and Electronic)

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

Revenue Officers are required to query IDRS for the required transaction codes to determine if levies, 3rd party contacts & suit filings are appropriate. A levy is when the IRS manually pulls owed tax money out of delinquent taxpayer bank accounts.

What is the disposition schedule?

AUTHORIZED DISPOSITION Delete when 1 year old or when no longer needed for administrative, legal, audit or other operational purposes, whichever is sooner.

Data Locations

What type of site is this?

SharePoint Online (SPO) Collection

What is the name of the SharePoint Online (SPO) Collection?

SharePoint Online (SPO) Collection

What is the URL of the item, if applicable?

https://irsgov.sharepoint.com/:f:/r/sites/SbCHqCp_Home/Enforcement/IDRS%20Transaction%20Code%20Search%20Tool?csf=1&web=1&e=3idgma

Please provide a brief description of the SharePoint Online (SPO) Collection.

The automation will write to the SharePoint site to store the usage report outputs with no PII data.

What are the incoming connections to this SharePoint Online (SPO) Collection?

The automation will write to the SharePoint site to store the usage report outputs with no PII data.

What are the outgoing connections from this SharePoint Online (SPO) Collection?

There is no outgoing connection.