Date of Approval: 03/14/2025
Questionnaire Number: 2131

Basic Information/Executive Summary

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

Insolvency Payment Monitoring Tool

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.

This automation is being developed for the Small Business/Self-Employed Insolvency Payment team. The users will consist of at least 150 full time GS-07 tax examiners. This automation is intended to be attended. The automation use case seeks to automate the manual process of validating posted payments in Integrated Data Retrieval System (IDRS) by reconciling between Account Information System (AIS). This automation would research multiple accounts to confirm that individual payments have properly posted or require manual review. The automation will have the following benefits: automation will plan to save over 15,600 hours of 150 full time resources, increase accuracy of the process and reduce human error.

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 use case seeks to automate the manual process of validating posted payments in IDRS by reconciling with data from Individual Master File (IMF) retrieved by the ELCAS API and payments from and Excel sheet provided by the tax examiner. This automation would research the taxpayer's account by their Social Security Number (SSN) to confirm that individual payments have been properly posted. If the payment has not been properly posted, the automation will let the user know which one it was, and the user will have to manually review that taxpayer's account. After the user makes the changes to the taxpayer's account, they will email the report to Campus Support. The reports will be saved to the user's Outlook sent folder. If the Insolvency Payment team needs to refer to the Campus Support team, they can be found within Campus Support's distribution email box.

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

Document Locator Number (DLN)
Federal Tax Information (FTI)
Individual Taxpayer Identification Number (ITIN)
Name
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?

1.2

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.)

Insolvency Payment will implement an attended robotic process automation (RPA) to improve the verification of check voucher status for SBSE tax examiners. It supports and automates the existing manual process. The RPA bot will reside on the RPA Program UiPath platform and will be ran each day by the assigned tax examiner on their laptop. SBSE's RPA supports the Service's missions and Insolvency Payment team to meet their business initiatives. It will improve the accuracy and timing. The Insolvency Payment Monitoring Tool is a medium complexity RPA automation and is registered with OneSDLC; it will be programmed to mimic human actions. The RPA bot will prompt the user to select an input folder that contains the check vouchers. Then, the bot will prompt the user to select an output folder that they want the check voucher sheet saved to. Lastly, the automation will extract the information from the excel sheet and insert it onto IDRS. After the automation is complete, the user will go to the output folder and select the most recent excel sheet. The user will find which check vouchers that were not found and manually research those check vouchers.

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.

This automation no longer uses Integrated Data Retrieval System (IDRS), but Enterprise Consolidated Legacy Access API. ECLAS can connect to the Individual Master File (IMF) and Business Master File (BMF), which is how the automation accesses the data it needs to run.

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.

Employees no longer need to log into IDRS for the bot, only for their own review. The RPA will still use the SSN and TIN but will use the Enterprise Consolidated Legacy Access System Application Programming Interface (ECLAS API) to do the search.

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 use case seeks to automate the manual process of validating posted payments in IDRS by reconciling with data from IMF retrieved by the ELCAS API. This automation would research multiple accounts to confirm that individual payments have properly posted or require manual review. The human will have to do the manual process if the check voucher is not found in IDRS.

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 a medium complexity automation. This automation was required to register 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 connections are through the ELCAS API which will connect via the backend. The bot will have its own credentials.

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

The users still need the following access to IDRS, but it is for their own review and not for the bot to function. The user that will have permission to access the data will be the Subject Matter Expert (SME) and tax examiners that will be using the automation. The users will be authenticated through their BEARS request for IDRS.

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.

Access to IDRS is requested via Business Entitlement Access Request System (BEARS). Data access is granted on a need-to-know basis. BEARS enrollment process requires that an authorized manager approve access requests on a case-by-case basis. Access approval is based on the user's 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.

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.

UiPath will use Security Assertion Markup Language (SAML) for UiPath Orchestrator.

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.

Mitigation Plan Privacy Risks 1. Data Breach: Risk: Unauthorized access to sensitive personal data. Mitigation Plan: i. Implement robust encryption for data at rest and in transit. ii. Use PIV for accessing sensitive data. iii. Regularly update and patch systems to protect against vulnerabilities. iv. Conduct regular security audits and penetration testing. 2. Unauthorized Data Sharing: Risk: Personal data being shared without user consent. Mitigation Plan: i. Enforce strict access controls and data governance policies. ii. Monitor and log data access and sharing activities. 3. Inadequate Data Retention Policies: Risk: Holding onto personal data longer than necessary Mitigation Plan: i. Define and implement clear data retention and deletion policies. ii. Regularly review and purge data that is no longer needed. Security Risks 1. Insider Threats: Risk: Employees with access to

sensitive data may misuse it. Mitigation Plan: i. Implement strict access controls and the principle of least privilege. ii. Conduct security training for employees. iii. Monitor user activity and establish mechanisms for reporting suspicious behavior. iv. Use role-based access controls and regular access reviews. Mitigation Plan Summary 1. Regular Audits and Assessments a. Conduct periodic security and privacy audits. b. Perform regular risk assessments and update mitigation strategies as needed. 2. User Education and Awareness a. Provide training on security best practices and privacy policies. 3. Policy and Procedure Development a. Establish and enforce comprehensive security and privacy policies. 4. Technical Solutions a. Implement automated tools for detecting and responding to threats. b. Use advanced encryption, access controls, and monitoring tools. By identifying these risks and implementing comprehensive mitigation strategies, business units can better protect privacy and security within their systems.

Interfaces

Interface Type
IRS Systems, file, or database
Agency Name
UiPath Robotic Process Automation
Incoming/Outgoing
Both
Transfer Method
Other

Interface Type
IRS Systems, file, or database
Agency Name
Enterprise Consolidated Legacy Access System Application Programming Interface
Incoming/Outgoing
Both
Transfer Method
Other
Other Transfer Method
ECLAS is an undertaking to build and provide an Integrated Middleware, an Enterprise Services platform to access legacy data from mainframe systems. ECLAS exposes web-service access to all the core legacy command codes as Generic JSON/SOAP responses and secured via SITEMINDER using SACS interface, with added benefits of orchestration, AAA, security, analytics, etc. Key capabilities include service orchestration, data driven parsing and transformations, automated ingestion of mainframe record layouts, and with continuous integration and deployment pipeline

for rapid development, build, test and deployment cycles. ECLAS provides a Service Oriented Architecture based on reusable, scalable Enterprise service, replacement for LAP service and to eventually migrate the existing LAP consumers, especially applications on non-java platforms.

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.

This SORN relates to internal IRS employee personnel records.

SORN Number & Name

IRS 70.001 - Individual Income Tax Returns, Statistics of Income

Describe the IRS use and relevance of this SORN.

This SORN relates to the use of the taxpayer's tax return.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

32 IRS Electronic Tax Administration

What is the GRS/RCS Item Number?

14

What type of Records is this for?

Both (Paper and Electronic)

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

Data entry system used to capture data submitted by taxpayers and other tax information used in Service Center processing. The database contains tax return information, records checks, and remittances.

What is the disposition schedule?

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

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Transitory and Intermediary Records

What is the GRS/RCS Item Number?

GRS 5.2 Item 020

What type of Records is this for?

Both (Paper and Electronic)

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

Records that meet the following conditions: they exist for the sole purpose of creating a subsequent record and they are not required to meet legal or fiscal obligations.

What is the disposition schedule?

Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use, whichever is later.

Data Locations

What type of site is this?

System

What is the name of the System?

Integrated Data Retrieval System

What is the sensitivity of the System?

Federal Tax Information (FTI)

Please provide a brief description of the System.

IDRS holds the taxpayer's information such as refund balances and due balances.

What are the incoming connections to this System?

SBSE tax examiners are the end-users that have the required access and authority to review taxpayer's PII data. The system developer and operators are IRS FTEs.

What type of site is this?

System

What is the name of the System?

Automated Insolvency System

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System.

ECLAS is an undertaking to build and provide an Integrated Middleware, and Enterprise Services platform to access legacy data from mainframe systems. ECLAS exposes webservice access to all the core legacy command codes as Generic JSON/SOAP responses and secured via SITEMINDER using SACS interface, with added benefits of orchestration, AAA, security, analytics, etc. Key capabilities include service orchestration, data driven parsing and transformations, automated ingestion of mainframe record layouts, and with continuous integration and deployment pipeline

for rapid development, build, test, and deployment cycles. ECLAS provides a Service Oriented Architecture based on reusable, scalable Enterprise service, replacement for LAP service and to eventually migrate the existing LAP consumers, especially applications on non-java platforms

What are the incoming connections to this System?

Bot credentials are given by the command team.