

Date of Approval: 05/16/2025  
Questionnaire Number: 2258

## Basic Information/Executive Summary

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

RPO Suitability Professional Designation Checks RPA

Business Unit

Return Preparer Office

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 will verify credentials for Certified Public Accountants (CPA), Attorneys, Enrolled Agents, and Actuary. It will search on either the Board of Accountancy or CPA Verification website. If the research shows the Return Preparers (RP) credential status as active, current, registered, issued, license, permit (two-tier states) or clear the case will be closed. If the results show not found, inactive, retired, expired, revoked, lapsed, suspended, probation, voluntary surrendered, cancelled, or not registered, the automation will generate a list for the Return Preparers Office (RPO) team to send letters to the RPs to obtain more information to verify the status of their license. This will allow staff to focus on more complex work, will help improve the accuracy of RPs credential data and facilitate a more comprehensive and accurate recertification verification process.

## 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).

Data will be used to query public websites to identify Return Preparers and verify professional licensure status.

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

Name

Other

Professional License Number

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

State of licensure used to narrow search results, license expiration date used to determine when next re-certification should be completed.

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

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

## Product Information (Questions)

1 Is this PCLIA a result of a specific initiative or process improvement?

No

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.

Tax Processing Print System (TPPS Agent Workspace)/Service Now

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.

Use of PII including Name, State of Practice, Professional Licensure Number and Professional Licensure Status is required to query public licensure websites and validate the correct Return Preparer has been identified to validate their licensure status.

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.

Replacing manual investigation completed by Return Preparer.

8 Indicate what level of complexity the RPA is classified as and if you were required to register with One Solution Delivery Lifecycle (OneSDL) or not, or indicate if Information Technology's (ITs) Technical Insertion process was used for approval of this RPA.

Automation is medium complexity and will follow the One Solution Delivery Lifecycle.

9 Will connections or interdependencies be established for this RPA?

Yes

9.1 Will the connection be encrypted?

No

9.2 Will authentication/credentials be required?

No

9.3 Please provide details for the connection/interdependency. Indicate if this occurs on the backend versus through the system/user interface.

Automation will connect with Tax Processing Print System (TPPS) to gather a list of professionals in need of license certification. It will also connect through the system interface to the public websites containing the licensure data to retrieve the necessary information to determine license suitability.

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

Users who currently have access to Tax Processing Print System (TPPS) will continue to maintain that access and use their normal system authentication. Data obtained from the licensure websites is available to the public, so no user authentication is required.

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 Tax Processing Print System (TPPS) is managed via BEARS request and will continue to follow the same process currently used for manual process work.

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.

Maintenance tasks are inherited from the host. Maintenance tasks for the public licensure website are managed by the websites themselves.

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 audit trail can be used to identify which Return Preparer's records have been accessed for purpose of recertification, when the recertification was completed and the results of the recertification.

## Interfaces

### Interface Type

Other Organization

### Agency Name

PCAVerify.org

Incoming/Outgoing  
    Incoming (Receiving)  
Transfer Method  
    Other  
Other Transfer Method  
    Screen scraping of PCAVerify.org

## Systems of Records Notices (SORNs)

### **SORN Number & Name**

IRS 22.062 - Electronic Filing Records

Describe the IRS use and relevance of this SORN.

This is used to research and validate that Return Preparers licensure status is active and in good standing.

### **SORN Number & Name**

IRS 37.111 - Preparer Tax Identification Number Records

Describe the IRS use and relevance of this SORN.

This is used to research and validate that Return Preparers licensure status is active and in good standing.

## Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

11 - IRS Tax Practitioner, Enrollment, Professional Responsibility, and Agent Practices

What is the GRS/RCS Item Number?

18

What type of Records is this for?

Electronic

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

The Preparer Tax Identification System (TPPS) is a system used to register and regulate paid tax return preparers. TPPS effectively and efficiently controls registration and renewal application processing, supporting document tracking on applications, case management and workflow processing, payment processing and reporting, suitability checks and processing, automated system correspondence, provides a Customer Relationship Management tool, and provides certificates when necessary.

What is the disposition schedule?  
Destroy 6 years after cutoff.

## **Data Locations**

What is the name of the environment?  
CPAVerify website

What is the sensitivity of the environment?  
Personally Identifiable Information (PII) including Linkable Data

What is the URL of the item, if applicable?  
cpaverify.org

Please provide a brief description of the environment.  
Site contains database of CPAs and their license information/status.