

Date of Approval: 04/05/2025
Questionnaire Number: 2091

Basic Information/Executive Summary

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

SBSE Payment Sweep RPA

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 project will help automate manual research of pending and posted payments for manually managed installment accounts (MMIA). Currently, staff must review case history and then search for payments via AMS (Account Maintenance System), IDRS (Integrated Data Retrieval System), and IAT (Integrated Automation Technologies) tools Compliance Suite and TC (Transaction Code) Search. This project will automate the research performed in the various applications and will then perform the appropriate actions for each case including payment posting to correct accounts and sending reminder or default letters to the responsible taxpayer(s). This will allow staff to monitor MMIA's more efficiently and perform the necessary follow up actions in a timely and accurate manner.

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).

PII used to research and locate payments for taxpayer accounts. Address, Name, Social Security Number and Tax ID number are utilized for query and verification purposes. PII will not be stored or sent to any external system. Data is contained in same systems and follows same usage policies of the systems currently in use during the manual completion of this process.

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

Address

Individual Taxpayer Identification Number (ITIN)

Name

Social Security Number (including masked or last four digits)

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 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.)

This Payment Sweep automation for the SBSE (Small Business/Self-Employed) group is in support of IRS initiative 4.3 to automate manual processes. It will pull individual and business account info from (Integrated Collection System) ICS database and use AMS, IDRS and IAT tools (Compliance Suite and TC Search) to

review if payments have posted or are pending on the account, based on the terms of the payment agreement. Payments will then be allocated as appropriate or routed to a user for manual intervention. Benefits include automation of a time consuming and cumbersome manual process currently used.

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 Collection System) ICS database, AMS, IDRS and IAT tools
(Compliance Suite and TC Search)

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 Tax Identification Numbers (TINs) & Social Security Numbers (SSNs) to research accounts and installment agreements to ensure accurate payment application.

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.

The manual search of payments on accounts for which an installment agreement exists.

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/High complexity, 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.

IDRS - connecting through backend via Enterprise Consolidated Legacy Access System (ECLAS) Application Programming Interface (API) UiPath libraries. Authentication via token. ICS - connecting via front end. Authentication via user credentials/existing session

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

Same access for current users of manual process. Authentication is completed via the Tax Examiner's current log on credentials used to access the applications.

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.

No additional BEARS access required for the automation; however, BEARS entitlements are necessary and previously secured for IDRS, AMS, IAT access to which the RPA is applied.

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 inherited from host, IDRS.

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.

Audit trail available via UiPath Orchestrator. Also see attached, Section 3 of the Process Description Document (PDD+).

Systems of Records Notices (SORNs)

SORN Number & Name

Treasury .015 - General Information Technology Access Account Records

Describe the IRS use and relevance of this SORN.

Use of TINs and SSNs to research payments made and missing payments on accounts that have been established on a manually managed installment agreement (MMIA). Use of the information is strictly for purpose of researching accounts to ensure compliance of the manually managed installment agreement. This automation will be used by Tax Examiners in the same manner as they are currently using it to perform this manual research as part of their normal job duties.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

6.5 - Public Customer Service Records

What is the GRS/RCS Item Number?

10

What type of Records is this for?

Electronic

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

Public service operations records, temporary

What is the disposition schedule?

Destroy 1 year after resolved or when no longer needed for business use, whichever is appropriate

Data Locations

What type of site is this?

System

What is the name of the System?

ICS (Integrated Collection System)

What is the sensitivity of the System?

Federal Tax Information (FTI)

Please provide a brief description of the System.

ICS provides worklist functionality. It is used to queue cases for Tax Examiners to work, to document research activities/outcomes,

to initiate corresponding action items and to trigger cases for follow up.

What are the incoming connections to this System?

All interactions/connections with ICS are handled through the ICS Case Access application. This application is already installed on the machines of the automation users.