

Date of Approval:
Questionnaire Number: 1832

Basic Information/Executive Summary

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

Time Audits

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.

Front Line Managers, Department Managers, Operations Manager, and Automated Underreporter (AUR) Coordinators run the Time Audits report for Tax Examiners on a weekly basis and perform work gap audits for each Time Examiner. The process takes one hour per Time Examiner, which is time consuming and involves a duplication of effort. An automated process will generate only a work gap report for each Tax Examiner for all the tax years and store the report output and error log into the AUR Time Audits SharePoint site. The automation will also generate the process code count by Tax Examiners for each day. The automation expedites the auditing process and increase efficiency gain. The automation uses UiPath technology to create a robot. The report runs in AUR application and generates output using Spreadsheet then converts into PDF file.

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 Time Audits report is used to gauge Tax Examiners how long it takes to complete the cases. The report captures taxpayers' social security numbers, and the information is used by Front-Line Managers to research the cases. The social security numbers are part of the report output.

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

Social Security Number (including masked or last four digits)

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

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.)

RPA process title is Time Audits. The Business unit is SB/SE and process owner is XXXX. The initiative is the IRS Digitization and Modernization Effort (DME) program. The Time Audits automation process allows to the Front-Line managers to run the Time Audits report for all Tax Examiners in XXXXXXXXXXXXX site. The report output only shows the audit records with time gap smore than 10 minutes, thereby expediting the auditing process and increasing efficiency gain. The report output includes the Social Security Number as part of the Time Audit data.

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 IRS IT systems is AUR application. It will be using SB/SE Tenant and AUR database.

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 taxpayer social security number has been included originally to the Time Audits report and the automation will continue to show same report output.

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.

It is automating the running of Time Audits report by running for applicable Tax Examiners for all Tax Year for specified date/time.

8 Indicate what level of complexity the RPA is classified as and if you were required to register with 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?

No

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

The AUR Front-Line Managers will run the Automations. The managers will login to AUR application using their own credentials before running the Automation.

11 Indicate if BEARS entitlements are required for access and if PUMAS (Privileged User Management Access System) 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, BEARS entitlements are required to access the AUR application which the Front-Line Managers already have.

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.

It 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 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.)

This is not applicable for this automation. It is running an existing report.

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

IRS AUR Application

Incoming/Outgoing

Incoming (Receiving)

Transfer Method
Other
Other Transfer Method
Graphical User Interface (GUI)

Interface Type
IRS Systems, file, or database
Agency Name
IRS AUR SharePoint site
Incoming/Outgoing
Both
Transfer Method
Other
Other Transfer Method
SharePoint API

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.

The Time Audits report output gets store in the AUR SharePoint Location and spreadsheets are managed by the AUR team. The SharePoint permission is managed by the AUR SharePoint team.

URL:

https://irsgov.sharepoint.com/sites/SbEcMem_AurRpts/Shared%20Documents/Forms/AllItems.aspx?csf=1&web=1&e=JOfmfx&CID=d7011a50%2Df19e%2D4cb5%2D8bc6%2Dc0e603bbeee0&FolderCTID=0x012000EC0B9E77FB80AC42A55729230A6C0A1A&id=%2Fsites%2FSbEcMem%5FAurRpts%2FShared%20Documents%2FRobotics%2FTime%20Audits&viewid=24d036e7%2D029e%2D4a0e%2D90db%2Dcab610939429

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

IRS Electronic Tax Administration - 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.

Automated Underreporter (AUR). AUR assists tax examiners in working underreporter cases, i.e., controls and tracks cases throughout the underreporter process, plus generates notices and letters to taxpayers.

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?

Aur-Rpts - Time Audits - All Documents

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

Personally Identifiable Information (PII) including Linkable Data

What is the URL of the item, if applicable?

https://irsgov.sharepoint.com/sites/SbEcMem_AurRpts/Shared%20Documents/Forms/AllItems.aspx?csf=1&web=1&e=JOMfpx&CID=d7011a50%2Df19e%2D4cb5%2D8bc6%2Dc0e603bbeee0&FolderCTID=0x012000EC0B9E77FB80AC42A55729230A6C0A1A&id=%2Fsites%2FSbEcMem%5FAurRpts%2FShared%20Documents%2FRobotics%2FTime%20Audits&viewid=24d036e7%2D029e%2D4a0e%2D90db%2Dcab610939429&OR=Teams%2DHL&CT=1733430864349&clickparams=eyJBcHBOYW11IjoiVGVhbXMtRGVza3RvcCIslkFwcFZlcnNpb24iOiI0OS8yNDEwMjAwMTMxOCIsIkhhc0ZlZGVyYXRlZFVzZXIiOmZhbHN1fQ%3D%3D

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

The SharePoint folder will be used to store the Time Audits report outputs and error logs. The report output contains social security number. The SharePoint site security will be managed by AUR Front-Line Managers. The historical files will be deleted by AUR Front-Line Managers.

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

The Time Audits automation will write to the SharePoint site to store the report outputs and error logs.

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

There is no outgoing connection.