

Date of Approval: 11/24/2025
Questionnaire Number: 2638

Basic Information/Executive Summary

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

TEGE Small Employer Client Initiative Automation

Business Unit

Tax Exempt and Government Entities

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 proposes the automation of a critical reporting process for the Small Employer Client Initiative office. Currently, staff must manually run database queries and export the results to Excel on a quarterly basis. This new automation will perform these tasks seamlessly, generating reports that include essential information such as contract numbers, organization names, and addresses. The encrypted reports will then be delivered securely via email. This automation directly supports the Internal Revenue Service's mission by enhancing the efficiency and reliability of the Small Employer Client Initiative. The reports are vital for identifying and engaging with small employer clients, enabling the initiative to provide targeted education, assistance, and important tax law information. This ensures these entities receive the support they need to meet their filing obligations, thereby promoting voluntary compliance.

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 embeds privacy controls at every stage. The data is minimized at collection, protected by encryption during transmission, accessed only by authorized personnel for a specific purpose, retained for a defined period, and destroyed securely. This end-to-end management ensures the Internal Revenue Service fulfills its mission while upholding its fundamental obligation to protect taxpayer privacy.

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

Address
Email Address
Federal Tax Information (FTI)
Name
Online Identifiers
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

Product Information (Questions)

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

Yes

1.1 What is the name of the Business Unit (BU) or Agency initiative?

IRS Digitization and Modernization Effort (DME)

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: TE/GE Small Employer Client Initiative Automation Owner: Tax Exempt and Government Entities - Supports: IRS Digitization and Modernization Effort (DME). - Systems: Outlook mail server, Returns Inventory & Classification System (RICS) database, MS Excel, SharePoint - PII Required: Yes (name, email address and System Identifier (SEID)). - Process: Operation: This project proposes the automation of a critical reporting process for the Small Employer Client Initiative office. Currently, staff must manually run database queries and export the results to Excel on a quarterly basis. This new automation will perform these tasks seamlessly, generating reports that include essential information such as contract numbers, organization names, and addresses. The encrypted reports will then be delivered securely via email.

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.

Systems: Outlook mail server, Returns Inventory & Classification System (RICS) database, MS Excel, SharePoint

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.

This project requires the use of sensitive data, specifically Federal Tax Information (FTI) and Personally Identifiable Information (PII), because its core mission of providing targeted tax education to small employers depends on it. This data is essential to accurately identify, locate, and contact the correct businesses, transforming a generic mailing list into an effective and lawful tax administration tool. The project will handle specific data elements such as business names, addresses, and taxpayer identifying numbers, all of which are classified as FTI-the strictest category of protected data-as they are sourced from official Internal Revenue Service records. This entire dataset is also considered Sensitive But Unclassified (SBU), meaning its unauthorized disclosure could cause harm. Therefore, the use of this information is not optional but is the fundamental, legally authorized basis for enabling the precise and effective outreach that supports small employers in meeting their tax obligations.

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 project proposes the automation of a critical reporting process for the Small Employer Client Initiative office. Currently, staff must manually run database queries and export the results to Excel on a quarterly basis. This new automation will perform these tasks seamlessly, generating reports that include essential information such as contract numbers, organization names, and addresses.

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.

The level of complexity for this project is classified as "Medium", and it is required to register with One Solution Delivery Lifecycle (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.

This automation handles logging into SharePoint and Returns Inventory & Classification System (RICS) database. It uses the built in backend Application User Interface (API) for this purpose.

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

As a pre-requisite, authorized users will be required to have an already approved Business Entitlement Access Request System (BEARS) to access the UiPath applications and SharePoint.

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.

As a pre-requisite, authorized users will be required to have an already approved Business Entitlement Access Request System (BEARS) to access the UiPath Assistant.

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. The maintenance tasks are inherited from the host (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. 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

SharePoint

Incoming/Outgoing
Both
Transfer Method
Secured channel via HTTPS

Interface Type
IRS Systems, file, or database
Agency Name
Outlook Mail Server
Incoming/Outgoing
Both
Transfer Method
Secured channel via HTTPS

Interface Type
IRS Systems, file, or database
Agency Name
Returns Inventory & Classification System (RICS) database
Incoming/Outgoing
Both
Transfer Method
Secured channel via HTTPS

Interface Type
IRS Systems, file, or database
Agency Name
Splunk
Incoming/Outgoing
Both
Transfer Method
Secured channel via HTTPS

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 audit logs capture the identity of the user using the RPA, the time and date of access to Project Tracking System (PTS) and the Integrated Financial System (IFS) and all the user's activity while using the RPA.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

3.1: General Technology Management Records

What is the GRS/RCS Item Number?

011

What type of Records is this for?

Electronic

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

System development records. These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation.

What is the disposition schedule?

Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.

Data Locations

What type of site is this?

Data Gateway

What is the name of the Data Gateway?

Splunk

What is the sensitivity of the Data Gateway?

Sensitive But Unclassified (SBU)

What is the URL of the item, if applicable?

<https://laco-irs.mgt.afsiep.net/>

Please provide a brief description of the Data Gateway.

Splunk is an extensible data platform designed to collect, index, and analyze machine-generated data at massive scale. This includes logs, metrics, and other forms of data from various sources like applications, servers, network devices, and more.

What are the incoming connections to this Data Gateway?

The Integrated Enterprise Portal (IEP) Splunk system (a log management tool hosted at <https://loco-irs.mgt.afsiep.net/>) primarily receives UiPath audit logs, which are originally stored in an MS SQL database before being sent to Splunk.

What are the outgoing connections from this Data Gateway?

This automation connects to UiPath Orchestrator and GitHub and uses the login credentials of the user to log into this application using the built-in internal Application Programming Interface (API). It does not save any login credentials for future use.