Date of Approval: 10/29/2025
Questionnaire Number: 2679

Basic Information/Executive Summary

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

Taxpayer Services PDF Extract

Acronym:

TS PDF

Business Unit

Taxpayer Services

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 Robotic Process Automation (RPA) is an attended automation being built and maintained by Information Technology (IT) RPA for Taxpayer Services (TS). The manual part of this TS PDF Extract process the automation is automating via RPA involves the automation monitoring an Operations Assistance Request (OAR) shared mailbox for emails with PDFs containing OARs received from TAS (Taxpayer Advocate Services).This process first begins by a Taxpayer having an issue with their account, where they reach out to TAS, who then completes an OAR that is sent to the shared mailbox. The automation will combine the received PDF files, verify that the OAR is not duplicate by searching for a match on the OAR SharePoint repository, and upload the combined OAR to SharePoint. The Tax Examiner will then manually assign the case to the relevant department/Subject Matter Expert (SME). Once they generate the case in

Ephesoft manually, the form will be received by another shared mailbox from where the automation will retrieve the PDF documents and upload the PDF to SharePoint. Once the process is complete, the automation will send an email to TAS saying the form has been processed.

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).

As part of Taxpayer Services' PDF Extract process, they process OARs sent from TAS into a shared inbox. Within the OAR, PII includes Taxpayer's name, Taxpayer Identification Number (TIN), TAS Officer information including Employee Name, Phone Number, Fax Number, Manager Name, Manger Phone Number, Mailing Address, TAS Liaison Name, Phone Number, Fax Number, Name of TS Tax Examiner Liaison, Phone Number, and Fax Number.

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

Email Address
Federal Tax Information (FTI)
Individual Taxpayer Identification Number (ITIN)
Name
Other
Telephone Numbers

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

The automation will monitor the shared mailbox for emails with PDFs containing OARs (Operations Assistance Request) received from TAS (Taxpayer Advocate Services). The automation will combine the received PDF files, verify that the OAR is not duplicate by searching for a match on the SharePoint repository, and upload the combined OAR to SharePoint. The Tax Examiner will manually assign the case to the relevant department/SME, once they generate the case in the Ephesoft system, the form will receive another shared mailbox from where the automation will retrieve the PDF documents, fill out the information from Ephesoft, and upload the PDF to SharePoint. Once the process is complete, the automation will send an email to TAS saying the form has been processed. â€‹

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

PII about individuals for Bank Secrecy Act compliance - 31 USC

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012
PII for personnel administration - 5 USC

Product Information (Questions)

1 Is this PCLIA a result of a specific initiative or process improvement?
No

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

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 Robotic Process Automation (RPA) is an attended automation being built and maintained by Information Technology (IT) RPA for Taxpayer Services (TS). The manual part of this TS PDF Extract process the automation is automating via RPA involves the automation monitoring an Operations Assistance Request (OAR) shared mailbox for emails with PDFs containing OARs received from TAS (Taxpayer Advocate Services).This process first begins by a Taxpayer having an issue with their account, where they reach out to TAS, who then completes an OAR that is sent to the shared mailbox. The automation will combine the received PDF files, verify that the OAR is not duplicate by searching for a match on the OAR SharePoint repository, and upload the combined OAR to SharePoint. The Tax Examiner will then manually assign the case to the relevant department/Subject Matter Expert (SME). Once they generate the case in Ephesoft manually, the form will be received by another shared mailbox from where the automation will retrieve the PDF documents and upload the PDF to SharePoint. Once the process is complete, the automation will send an email to TAS saying the form has been processed.

3 Is this a new Robotic Process Automation (RPA) project?
Yes

6 Is your RPA Attended/Unattended?
This is an attended automation.

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 automation will monitor the shared mailbox for emails with PDFs containing OARs (Operations Assistance Request) received from TAS (Taxpayer Advocate Services). The automation will combine the received PDF files, verify that the OAR is not duplicate by searching for a match on the SharePoint repository, and upload the combined OAR to SharePoint. The Tax Examiner will manually assign the case to the relevant department/SME, once they generate the case in the Ephesoft system, the form will receive another shared mailbox from where the automation will retrieve the PDF documents, fill out the information from Ephesoft, and upload the PDF to SharePoint. Once the process is complete, the automation will send an email to TAS saying the form has been processed.

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.

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.

I have uploaded the process steps. The connection and interdependencies of this RPA include IT RPA UiPath, UiPath Assistant, Microsoft 365, Adobe Acrobat. Dependencies include OAMC OAR SharePoint, OAR Shared Email Inbox, OAR Form 12412.

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.

This automation is being built and maintained by the IT RPA (UiPath Platform) team. IT RPA will be responsible for any Operation & Management (O&M) defects, system updates, maintenance, etc. as needed.

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 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

Forms

Agency Name

Operations Assistance Request (OAR) Form 12412

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

IT RPA UiPath

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

OAMC OAR SharePoint

Incoming/Outgoing
Incoming (Receiving)
Transfer Method
Secured channel via HTTPS

Interface Type
IRS Systems, file, or database
Agency Name
OAMC OAR Shared Email Inbox
Incoming/Outgoing
Both
Transfer Method
Application to Application (A2A)

Systems of Records Notices (SORNs)

SORN Number & Name
IRS 24.030 - Customer Account Data Engine Individual Master File
Describe the IRS use and relevance of this SORN.
Client/taxpayer individual information is accessed as a result of the TS PDF Extract OAR process.

SORN Number & Name
IRS 00.003 - Taxpayer Advocate Service and Customer Feedback and Survey Records
Describe the IRS use and relevance of this SORN.
TAS communicates with Taxpayer Services when taxpayers have issues accessing their account, and thus, the OAR is created and sent to TS PDF Extract team.

SORN Number & Name
IRS 34.037 - Audit Trail and Security Records
Describe the IRS use and relevance of this SORN.
To identify and track any unauthorized accesses to sensitive and classified information and potential breaches.

Records Retention

What is the Record Schedule System?
Record Control Schedule (RCS)

What is the retention series title?

Operations Assistance Request (OAR)

What is the GRS/RCS Item Number?

RCS 9 Item 73

What type of Records is this for?

Both (Paper and Electronic)

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

The Taxpayer Advocate Service (TAS) uses the Operation Assistance Request (OAR) process to refer cases to Submissions Processing functions when TAS lacks either statutory or delegated authority to resolve a taxpayer's problem. TAS utilizes IR Form 12412, Operations Assistance Request (OAR) to initiate the OAR process. (Job No. N1-5809-1)

What is the disposition schedule?

AUTHORIZED DISPOSITION Cut off at end of processing year. Destroy 1 year after processing year.

Data Locations

What type of site is this?

SharePoint Online (SPO) Collection

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

OAMS OAR

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

Personally Identifiable Information (PII) including Linkable Data

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

This SharePoint location is where TS PDF Extract team tracks and monitors OAR progress

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

Outlook, OAR Form

What type of site is this?

System

What is the name of the System?

OAR Shared Microsoft Outlook Inbox

What is the sensitivity of the System?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the System.

OAR shared Outlook inbox team receives OARs from TAS

What are the incoming connections to this System?

Outlook, M365