

Date of Approval: 04/26/2024  
Questionnaire Number: 1190

## Basic Information/Executive Summary

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

Robotic Process Automation Small Business Self Emp, SBSE Auto

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.

Automating manual business processes will increase accuracy, improve productivity, higher consistency, better efficiency, easier scalability, allow employees to focus on more critical, analytical tasks while robot performs mundane repetitive processes. Current manual business processes being automated:

\* Aged 5M and Years 1-4 Compliance Check - Aged 5M is a term used for monitoring taxpayer's filing and payment compliance for 5 years after an offer has been accepted. Years 1-4 Compliance Check monitors taxpayers filing and payment compliance for years 1-4 after an offer has been accepted. This requires the taxpayer to file and pay any new liabilities that are assessed throughout the five tax years. The process exports an excel list of offers from Business Objective (BO) tool. The process should then use that list of offers to monitor filing compliance, update and close cleared accounts in Integrated Data Retrieval System (IDRS) and Automated Offer In Compromise (AOIC). It will also update uncleared accounts in IDRS and AOIC.

\* Payment Process - When a compromise is agreed upon, a Tax Examiner is assigned to that record. Monitoring these offers in compromise (MOIC) entails accessing the Automated Offers in Compromise (AOIC) system and running a report for taxpayers that have open offers. The Tax Examiner then checks if any payments were received for that person. If a partial payment was received, the Tax Examiner will process the transaction and input a follow-up date in AOIC. If the received payment was for the remaining balance, a release of lien request is submitted, and their status is updated in the AOIC. If no payment is received 31 days past the date generated in AOIC, a potential default notification is sent to the taxpayer. If no payment has been received 45 days past the initial notification date, additional steps are taken to indicate that the individual is in default.

## 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).

Robotic Process Automation (RPA) performs the same actions as an employee within the IRS. Resulting in automations being created that access systems that use SSN information to validate data throughout automated processes. The implemented SBSE MOIC processes require access to the SSN to verify/research information.

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

Centralized Authorization File (CAF)  
Document Locator Number (DLN)  
Employer Identification Number  
Employment Information  
Financial Account Number  
Name  
Other  
Social Security Number (including masked or last four digits)  
Standard Employee Identifier (SEID)  
Tax ID Number  
Telephone Numbers

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

Mailing Address, Date of Birth

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

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

SSN for tax returns and return information - IRC section 6109

## Product Information (Questions)

1.1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?

No

1.3 What type of project is this (system, project, application, database, pilot/proof of concept, power platform/visualization tool)?

System

1.35 Is there a data dictionary for this system?

No

1.36 Explain in detail how PII and SBU data flow into, through and out of this system.

For both Aged 5M and Payment Process automation's process uses Business Objective (BO) tool (Web Application) to export a list of offers containing taxpayer information to an excel sheet onto users' local machine. The data on these excel files contains: Offer Number, TIN, Status, Assignment, Payment Due Date, Amount Due, Offer Balance. \*\*Aged 5M Process: The process should then use that list of offers to monitor filing compliance, update and close cleared accounts in Integrated Data Retrieval System (IDRS) and Automated Offer in Compromise (AOIC). It will also update uncleared accounts in IDRS and AOIC. \*\*Payment Process - Uses the offer list by accessing the Automated Offers in Compromise (AOIC) system and running a report for taxpayers that have open offers. The Tax Examiner then checks if any payments were received for that person. At that point, the process branches into 3 potential outcomes: 1. No payment was received 2. One portion of the total amount due was received 3. The total amount due/remaining was received. If a partial payment was received, the Tax Examiner will process the transaction and input a follow-up date in AOIC. If the received payment was for the remaining balance, a release of lien request is submitted, and their status is updated in the AOIC. If no payment is received 31 days past the date generated in AOIC, a potential default notification is sent to the taxpayer. If no payment has been received 45 days past the initial notification date, additional steps are taken to indicate that the individual is in default.

1.4 Is this a new system?

No

1.5 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this system?

Yes

1.6 What is the PCLIA number?

The previous PCLIA number is 6457 and it was approved 09/24/21.

1.7 What are the changes and why?

There are enhancements to the Aged 5m process that includes research and processing for years 1-4 offers. There are no enhancements to the payment process automation. This automation is a part of the PCLIA and the previous PCLIA is expiring.

1.9 What OneSDLC State is the system in (Allocation, Readiness, Execution)?

Execution

2.1 If this system discloses any PII to any third party outside the IRS, does the system have a process in place to account for such disclosures in compliance with IRC 6103(p)(3)(A) or Subsection c of the Privacy Act? Contact Disclosure to determine if an accounting is required. Enter "Yes" or "No". If Exempt, type "Exempt".

No

2.2 Please provide the full name of and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.

IMD GB - Internal Management Governance Board

3.1 Does your project/system involve any use of artificial intelligence (AI), including virtual assistant, chat bot, and robotic process automation, as defined in Executive Order 13960?

Yes

3.2 What is the methodology used and what database is training your AI?

There is no AI training for this project. It is a robotic process automation that uses UiPath to automatically process the business manual process for Aged 5M and Payment Process.

3.3 Does this system use cloud computing?

No

3.6 Does this system interact with the public through a web interface?

No

3.7 Describe the business process allowing an individual to access or correct their information.

The Platform by itself does not provide these capabilities. Accessing and correcting their information are provided in the tax forms instructions filed by the taxpayer, and pursuant to 5 USC.

4.1 Who owns and operates the system (IRS Owned and Operated, IRS Owned and Contractor Operated, Contractor Owned and Operated)?

IRS Owned and Operated

4.5 Identify the roles and their access level to the PII data. For contractors, indicate whether their background investigation is complete or not.

The following people have access to this application - IRS Authorized Users (Read & Write), Contractors Authorized to execute the application (Read & Write)

4.53 How many records in the system are attributable to members of the public? Enter “Under 5,000”, “5,000 to 10,000”, “More than 10,000” or “Not applicable”.

More than 10,000

4.6 How is access to SBU/PII determined and by whom?

The Business owner makes the determination on who has access to SBU/PII data by the automation. The IDRS/IAT, AOIC, and RTR system utilizes the Business Entitlement Access Request System (BEARS) application to document approvals for access. Data access is granted on a need-to-know basis. A potential user must submit a request for access to their local management for approval. Users are not permitted access without a signed form from an authorized management official. Specific permissions (Read, Write, Modify, Delete, and/or Print) are defined on the form and set (activated) by the System Administrator prior to the user being allowed access. User privileges and user roles determine the types of data that each user has access to.

5.1 Please describe any privacy risks, civil liberties and/or security risks identified for the system that need to be resolved and what is the mitigation plan?

No privacy risks

5.2 Does this system use or plan to use SBU data in a non-production environment?

No

## Interfaces

### Interface Type

IRS Systems, file, or database

**Agency Name**  
Business Object Environment (BOE) Tool  
**Incoming/Outgoing**  
Outgoing (Sending)  
**Transfer Method**  
Other  
**Other Transfer Method**  
Exports an excel file onto users' local machine containing list of taxpayer offers.

**Interface Type**  
IRS Systems, file, or database  
**Agency Name**  
Integrated Data Retrieval System (IDRS)  
**Incoming/Outgoing**  
Incoming (Receiving)  
**Transfer Method**  
Other  
**Other Transfer Method**  
UiPath asks for user to insert their PIV password. PIV password is input into IDRS.

**Interface Type**  
IRS Systems, file, or database  
**Agency Name**  
Remittance Transaction Research (RTR)  
**Incoming/Outgoing**  
Incoming (Receiving)  
**Transfer Method**  
Other  
**Other Transfer Method**  
Taxpayers DLN is inserted in RTR for research. EFT Trace Data is Captured to make updates in AOIC.

**Interface Type**  
IRS Systems, file, or database  
**Agency Name**  
Integrated Automation Tool  
**Incoming/Outgoing**  
Both  
**Transfer Method**  
Other  
**Other Transfer Method**  
Data is received in IAT Compliance/OIC tools. Received data is used to generate IAT Letter.

**Interface Type**

IRS Systems, file, or database

**Agency Name**

Automated Offers in Compromise (AOIC)

**Incoming/Outgoing**

Outgoing (Sending)

**Transfer Method**

Other

**Other Transfer Method**

Status, follow up, and remark is updated in AOIC after taxpayers account is researched in IDRS.

## Systems of Records Notices (SORNs)

**SORN Number & Name**

IRS 24.046 - Customer Account Data Engine Business Master File

**Describe the IRS use and relevance of this SORN.**

Taxpayers' information is pulled from IDRS to process any liabilities and payment owed by the taxpayer.

**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.

**SORN Number & Name**

IRS 24.030 - Customer Account Data Engine Individual Master File

**Describe the IRS use and relevance of this SORN.**

Taxpayers' information is pulled from IDRS to process any liabilities and payment owed by the taxpayer.

## Records Retention

**What is the Record Schedule System?**

Record Control Schedule (RCS)

**What is the retention series title?**

Integrated Data Retrieval System (IDRS)

**What is the GRS/RCS Item Number?**

236

What type of Records is this for?

Electronic

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

RCS 29 Item 236

What is the disposition schedule?

All data meeting end of retention period requirements will be eliminated, overwritten, degaussed, and/or destroyed in accordance with approved National Archives and Records Administration (NARA)-approved disposition authorities for the systems containing the data.

## Data Locations

What type of site is this?

System

What is the name of the System?

File Explorer

What is the sensitivity of the System?

Federal Tax Information (FTI)

Please provide a brief description of the System.

Offer List that is exported from the BO tool is downloaded into file explorer onto user's local machine for the duration of the run.

What are the incoming connections to this System?

Offer List Excel file downloaded on to users' local machine.

What type of site is this?

Shared Drive

What is the name of the Shared Drive?

XXXXXXX and XXXXXXXXXXXX

What is the sensitivity of the Shared Drive?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

\vpwsestshrcmn44\Common\SC\BCS\Comp\SCOIC\MOIC\Ops\  
MOIC Letters\RPA Letters

Please provide a brief description of the Shared Drive.

There is a XXXXXX and a XXXXXXXXXXXX shared folder. The automation will save the generated 275C PDF letter.