

Date of Approval: 03/14/2025
Questionnaire Number: 1812

Basic Information/Executive Summary

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

Withholding Compliance (WHC) Auto Release

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.

The business Objective of this automation is to reduce the burden on taxpayers and tax examiners. Taxpayers that meet all requirements for release from the Withholding Compliance (WHC) program continue to be locked in and endure IRS enforcement action (mandatory withholding) unless they call the WHC program line and verbally request a manual release. Due to taxpayer confusion about the release criteria, some taxpayers never call (and continue to be locked in indefinitely), while others call IRS repeatedly until they are removed from the program. This uneven compliance treatment locks the taxpayer in beyond the time necessary. This automation will extract the list of taxpayers who are in WHC locked in status and auto release the ones who are compliant and meet the release criteria from the locked in status. This automation will help in reducing calls from taxpayers and help the WHC team to send out the letters only to the taxpayers who are not compliant. This automation will also reduce the hours spent by tax examiner to research if each taxpayer is compliant and is eligible to release. Benefits of this automation - Increase agency resource capacity Increase time

efficiencies Accuracy in program data Improved & level taxpayer experience, treatment, and service.

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 Personally Identifiable Information (PII) is used to identify the specific taxpayer. Initially, the PII paired with tax related information determines the person's locked-in status. Once that is determined, the PII is used to identify the correct person(s) for release. After the correct people are released, the PII is used again to identify the correct person/business to send letters, and once again for the Withholding Compliance System (WHCS) batch processing to update the WHCS database. PII will be destructed at the end of the program.

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

Employer Identification Number

Federal Tax Information (FTI)

Individual Taxpayer Identification Number (ITIN)

Other

Social Security Number (including masked or last four digits)

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

Username and Password

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 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 Automation Name: Withholding Compliance (WHC) Auto Release

Business Unit Owner: Small Business Self Employed (SB/SE)

IRS Strategy supported: To improve Employee experience & Taxpayer experience

Process for Automation: Robotic Process Automation (RPA) will process Withholding Compliance (WHC) Auto Release automation. This automation will identify the taxpayers who are in WHC locked in status from Business Objects Enterprise (BOE) and use the SSNs to review each taxpayer's compliance status in Integrated Data Retrieval System (IDRS). If the taxpayer meets the release criteria (compliant for the past 3 years - returns filed on time, 0 balance due for tax payments and payments made on time) they will be auto released from the locked in status and send letters 2809 for Employer release and 2813 for Taxpayer release lock-in. A report of released taxpayers' information is generated and sent to Withholding Compliance System (WHCS) IT team for updating the letters 2809, 2813 and history of transaction code TC 972-146 in WHCS database. This automation is initiated for the benefit of taxpayer & employee experience. This automation will help in reducing calls from taxpayers and help the WHC team to send out the letters only to the taxpayers who are not compliant. This automation will also reduce the hours spent by tax examiner to research if each taxpayer is compliant and initiate the process to release the taxpayer. This is an unattended Automaton run on virtual machine. Benefits of this automation - Increase agency resource capacity. Increase time efficiencies. Accuracy in program data. Improved & level taxpayer experience, treatment, and service.

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.

Business Objects Enterprise (BOE) to generate report and Integrated Data Retrieval System (IDRS) for research.

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.

BOE reports contain SSNs and taxpayers' names, this report is generated to identify the taxpayers who are in withholding compliance program locked-in status. IDRS uses the SSNs from BOE reports to research the tax payment

receipts and withholdings to identify the taxpayers who are compliant for past 3 years.

6 Is your RPA Attended/Unattended?

Unattended

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.

Robotic Process Automation (RPA) will process Withholding Compliance (WHC) Auto Release automation. This automation will extract the list of taxpayers and their SSNs who are in WHC locked in status from Business Objects Enterprise (BOE) and use the SSNs to review each taxpayer's compliance status in Integrated Data Retrieval System (IDRS). If the taxpayer meets the release criteria (compliant for the past 3 years - returns filed on time, 0 balance due for tax payments and payments made on time) they will be auto released from the locked in status.

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?

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.

BOE & IDRS connection is made through user interface.

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

This is an unattended BOT which is a NPE (Non-Person Entity) account that will have similar authentication permissions as a normal user in the manual process. The unattended bot needs BEARS request approval for both BOE & IDRS access by which username and password will be created for the bot's authentication.

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.

BEARS entitlements are required for the users to access CADE BOE, IDRS & 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 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 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.)

Not applying any algorithms.

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

IRS Systems, file, or database

Agency Name

Business Objects Enterprise

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Enterprise Consolidated Legacy Access System

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Interface Type

IRS Systems, file, or database

Agency Name

Integrated Data Retrieval System (IDRS)

Incoming/Outgoing

Both

Transfer Method

Application to Application (A2A)

Other Transfer Method

Research TIN in IDRS with data from IDRS & saved in SharePoint

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.

This is for audit purpose

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

Taxpayer payment receipt, withholding amounts are pulled from IDRS to process Withholding Compliance of taxpayer who are in locked in status.

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Tax Administration - Wage and Investment (W&I) Records

What is the GRS/RCS Item Number?

RCS-29 Item-85

What type of Records is this for?

Electronic

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

(B) System Data: The WHCS case records consist of data relating to employee wages, exemptions, withholdings, system-generated letters, taxpayer compliance information and master file action codes, as well as employer data. Also included are legacy Compliance Questionable W-4 Case Control System (CQW4) database files from the superseded Questionable W-4 Program. 1. WHCS Data (October 2005-Present). Maintains data relating to taxpayer wages, exemptions, withholdings, and taxpayer compliance information.

What is the disposition schedule?

AUTHORIZED DISPOSITION Delete 3 years after lock-in is released or 10 years after lock-in date, whichever is earlier.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Enterprise Computing Center - Martinsburg (ECCMTB)

What is the GRS/RCS Item Number?

RCS-19 Item number 29

What type of Records is this for?

Electronic

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

Covers records created and maintained by the Enterprise Computing Center including those submitted to ECC-MTB as input documents for use in the performance of its mission which includes performance of master file operations of the tax administration system.

What is the disposition schedule?

(1) Final updated tape for each calendar year. AUTHORIZED DISPOSITION Scratch after 6 months. (2) All other weekly updated tapes. AUTHORIZED DISPOSITION Scratch after successful completion of third update cycle.

Data Locations

What type of site is this?

System

What is the name of the System?

Integrated Data Retrieval System

What is the sensitivity of the System?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

N/A

Please provide a brief description of the System.

The Integrated Data Retrieval System (IDRS) is a major application supported on the Unisys and IBM mainframes at the ECC Martinsburg and ECC Memphis and controlled through the Security and Communication System (SACS). It is a mission critical steady state system consisting of databases and operating programs that support IRS employees working active tax cases within each business function across the entire IRS. This system manages data that was extracted from the Corporate Account Data Stores (BMF, EPMF, IMF and CADE) allowing IRS employees to take specific actions on taxpayer account issues, track status and post transaction updates back to the Master Files.

What are the incoming connections to this System?

Incoming connection to this system is Consolidated Annual Tax Reporting System (CATRS), which is the case management system for working with Federal Income Tax (FIT) withheld.

What are the outgoing connections from this System?

The outgoing connection from this system is Compliance Data Environment (CDE), which is a centralized, open-architecture automated information system which assists IRS employees in the identification, classification, and delivery of tax return information.

What type of site is this?

System

What is the name of the System?

SPLUNK - Integrated Enterprise Platform (IEP) & IRS platform

What is the sensitivity of the System?

Not Applicable

What is the URL of the item, if applicable?

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

Please provide a brief description of the System.

UiPath provides the audit trails at the organization/tenant level and these logs are stored in Microsoft Sequential 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 IEP SPLUNK and IEP SPLUNK is connected to IRS SPLUNK. Any logs going to IEP SPLUNK will be forwarded to IRS SPLUNK.

What are the incoming connections to this System?

Application logs from UiPath

What are the outgoing connections from this System?

Not Applicable

What type of site is this?

System

What is the name of the System?

Business Objects Enterprise

What is the sensitivity of the System?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

http://ea.web.irs.gov/aba/index.html?mainpageurl=SA/ea-panell_main-application_7131.htm

Please provide a brief description of the System.

The Customer Account Data Engine 2 (CADE2) established database(s) that house the individual taxpayer accounts, which provides IRS employees the ability to view updated account information on-line. The application performs daily maintenance to the database keeping the CADE2 database data in sync with IMF Daily Processing (DP) taxpayer account updates on the master file. CADE2 balances the financials on the database to the IMF and includes regular data integrity checks. The CADE2 application includes custom code written in JAVA, Common Business-Oriented Language (COBOL), Extract Transform and Load (ETL) Informatica code, Commercial Off-the-Shelf (COTS) product Job Control Language (JCL), and Assembly Language Code (ALC) programming languages.

What are the incoming connections to this System?

The incoming connection to this system is Individual Master File (IMF). Within As-Built Architecture (ABA), Individual Master File (IMF) is a reference term representing a number of systems such as Individual Master File Pre-Posting (IMFPREPOSTING, IMF INPUTS), Individual Master File Posting and Analysis (IMFANALYSIS), Individual Master File Outputs (IMFOUTPUTS), IMF Discriminant Index Function Inventory (IMFDIFINV), Executive Control Program for IMF Extract (IMF701EXEC), Individual Master File Reports (IMFREPORT), and Individual Return Transaction File (IRTF). You can find these systems within the Individual Master File Mainline Processing, except for IMF Doc Specific, which is considered to be a part (sub system) of Generalized Mainline Framework (GMF).

What are the outgoing connections from this System?

The outgoing connection for this system is Individual Master File Online (IMFOL). Individual Master File Online (IMFOL) is part of the Corporate Files Online (CFOL) system and is used primarily to display tax account information on Individual taxpayers to Real Time users.

What type of site is this?

System

What is the name of the System?

Enterprise Consolidated Legacy Access System

What is the sensitivity of the System?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

http://ea.web.irs.gov/aba/index.html?mainpageurl=SA/ea-panel1_main-application_7279.htm

Please provide a brief description of the System.

Enterprise Consolidated Legacy Access System (ECLAS) is an undertaking to build and provide an Integrated Middleware, an Enterprise Services platform to access legacy data from mainframe systems.

What are the incoming connections to this System?

The Security and Communications System (SACS) system provides the tools that Cyber Security uses to manage security, communications, transaction logging of taxpayer data access and terminal management for thousands of Real-Time user terminals such as Integrated Data Retrieval System (IDRS) and Corporate Files online (CFOL). The Negative Taxpayer Identification Number System (NTINS) and IDRS Sensitive SSN (IDRS SSN) are also components of SACS.

What are the outgoing connections from this System?

The Security and Communications System (SACS) system provides the tools that Cyber Security uses to manage security, communications, transaction logging of taxpayer data access and terminal management for thousands of Real-Time user terminals such as Integrated Data Retrieval System (IDRS) and Corporate Files online (CFOL). The Negative Taxpayer Identification Number System (NTINS) and IDRS Sensitive SSN (IDRS SSN) are also components of SACS.