Basic Information/Executive Summary

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

Automated Lien Payoff

Acronym:

RPA ALP

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.

As described on IRS.gov, the IRS can file a public document, a Notice of Federal Tax Lien (NFTL), when taxpayers don't pay their debt fully and on time after formal notice. The NFTL asserts the government's rights to recover taxes owed and alerts other creditors. When taxpayers want the IRS to release the lien, they request the payoff amount-the personalized amount the taxpayers must pay to resolve their outstanding tax liabilities, including interest and penalties. The payoff amount is calculated for a specific payoff date, or for a 30-day or 60-day timeframe by when the taxpayer must pay the full amount. Third parties such as title companies or powers of attorney may also request lien payoff amounts related to specific NFTLs. The Department of Justice (DOJ) also makes these requests. It is the Tax Examiner's responsibility to provide payoff amounts to taxpayers or third parties through a payoff letter. Taxpayers receive Letter 3640

"Taxpayer Lien Payoff," and third parties receive Letter 3641 "Third Party Payoff (Escrow or Financial Institutions)." For DOJ requests, response is via Letter 3640-D, "Lien Payoff for Judicial Processing." The automation calculates the lien payoff amount and generates the appropriate letter. The automation will save time and reduce manual labor while improving customer 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).
    Taxpayer Identification Numbers (TINs) are used to identify tax information in the Integrated Data Retrieval System (IDRS). Taxpayer's account information is accessed to calculate the balance owed as of a given date, and to verify the taxpayer's address and authorized Power of Attorney (if applicable).

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.
    Address
    Employer Identification Number
    Federal Tax Information (FTI)
    Name
    Social Security Number (including masked or last four digits)
    Tax ID Number

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 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.)

>Automated Lien Payoff, Small Business Self-Employed (SBSE). This product supports technology-driven operational efficiency. The tool will support Centralized Lien Operations (CLO) employees by automating the payoff calculation and creation of response letters. PII is required to identify taxpayer accounts and balances via IDRS using existing internal controls. The process will reduce time, improve accuracy, and improve employee satisfaction.

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 automation uses the IRS IT system Integrated Data Retrieval System (IDRS) to access Masterfile data. The RPA is coded in UiPath and uses the SB/SE Tenant.

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.

>To calculate the requestor's lien payoff amount, it is necessary to use personal information about the taxpayer to access their records including TINs. It is also necessary to use their tax information to determine their liability. The automation follows the policies set out in the related sections of the Internal Revenue Manual for disclosure of information.

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.

>Automated Lien Payoff automates a process performed by a human. The automation calculates the lien payoff amount requested, then generates the appropriate letter for the requestor.

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 automation is high complexity and is 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 Centralized Lien Operations Tax Examiners (TEs) will run the automation. The TEs will log into IDRS using their own credentials before running the automation.

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.

       Yes, BEARS entitlements are required to access the IDRS application and the TEs already have IDRS access.

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.

       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 (monitoring software). 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
> Integrated Data Retrieval System

Incoming/Outgoing
> Incoming (Receiving)

Transfer Method
> Other

Other Transfer Method
> Enterprise Consolidated Legacy Access System (ECLAS)
> Application Programming Interface (API)

Interface Type
> Forms

Agency Name
> Letters 3640, 3640-D, and 3641

Incoming/Outgoing
> Outgoing (Sending)

Transfer Method
> Integrated Enterprise Portal (IEP)

Interface Type
> IRS Systems, file, or database

Agency Name
> SharePoint

Incoming/Outgoing
> Outgoing (Sending)

Transfer Method
> Other

Other Transfer Method
> SharePoint API

Systems of Records Notices (SORNs)

SORN Number & Name
IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.
The automation produces letters to be sent to taxpayers and third parties

SORN Number & Name
IRS 26.009 - Lien Files

Describe the IRS use and relevance of this SORN.
The automation will be used by employees to process requests for payoff amounts due from individuals on whom Notices of Federal Tax Liens have been filed.

Records Retention

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

What is the retention series title?
28 Tax Administration - Collection

What is the GRS/RCS Item Number?
23 Routine Information Request Files

What type of Records is this for?
Both (Paper and Electronic)

Please provide a brief description of the chosen GRS or RCS item.
Written requests for information and general inquiry from taxpayers or their representatives.

What is the disposition schedule?
Destroy after response or information is furnished.

Data Locations

What type of site is this?
Shared Drive

What is the name of the Shared Drive?
S:\SC\CIN\CS\Liens\Department 2 Liens

What is the sensitivity of the Shared Drive?
Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the Shared Drive.

    The automation stores the created letters on the common drive until the payoff date has passed.

What are the incoming connections to this Shared Drive?

    The Automated Lien Payoff automation will write to the Shared Drive to store the letters.

What are the outgoing connections from this Shared Drive?

    There are no outgoing connections.