

Date of Approval: **June 22, 2022**

PIA ID Number: **6958**

SYSTEM DESCRIPTION

Enter the full name and acronym for the system, project, application and/or database.

Robotic Process Automation - WI Manual Refunds Ver, RPA WI MRVM

Is this a new system?

Yes

What governance board or Executive Steering Committee (ESC) does this system report to? Full name and acronym.

IMD Governance Board

Current ELC (Enterprise Life Cycle) Milestones:

System Development/Milestone 4B

Is this a Federal Information Security Management Act (FISMA) reportable system?

No

GENERAL BUSINESS PURPOSE

What is the general business purpose of this system? Provide a clear, concise description of the system, application or database, the reason for the system, and the benefits to the IRS to use the information, and how the information will be used.

Each year, approximately 1.2 million Manual Refunds are created and verified by hundreds of staff across multiple campuses who spent 5 minutes per case to confirm refunds should be issued or to take action if refund has already been issued. Manual Refunds (Transaction Code (TC) 840) are refunds not generated through normal master file processing (TC846). Manual refunds are requested on either Form 3753, Manual Refund Posting Voucher, or Form 5792, Request for IDRS Generated Refund. Approximately 3,500 Manual Refunds are created each day and verified by 300 + FTEs across multiple campuses to validate refunds before being issued. Manual Refund suite to alert of duplicate refunds. A major challenge is the extremely manual process of inputting and verifying 3,500 daily manual refunds (MR) totals at end of day being addressed by 300 + full time employees (FTEs) across multiple campuses which utilize the tool to input and validate the information. Actions/Manual Refund must be input/fixed by noon so accounting can perform their verification. The Robotics Process Automation will replace most of the human interactions required to monitor and verify refund cases via Integrated Automation Technologies (IAT) - Erroneous Manual Refund Tool (EMT). Business user will log into InfoConnect and launch IDRS & IAT - EMT to kick off the automation process. The attended bot will import previously monitored case file &

new active case file for today from the shared drive into IAT - EMT. Once all the case files are loaded, the bot will initiate the monitoring and verification process for the refunds within the IAT - EMT by comparing with the information in IDRS. Once the monitoring and verification process is complete, the bot will trigger IAT - EMT to generate two reports: 1. EMT Run Report, which contains all the cases with 840s, and any discrepancy found during the verification process on the monitored active cases. 2: Archive Case Report: which lists out all the archive cases past 90 days that need to be closed out in IDRS. Once the reports have been generated, the bot will send both reports to headquarters for review. Business users will be responsible for correcting mismatches found on the EMT Run Report. The bot will export the newly generated active case file on the monitored cases by the IAT - EMT to the shared drive. The bot will send the Archive Case Report to headquarters so archive cases that are past 90 days can be manually closed out by users via IDRS. The automation will be able to save approximately 105,000 hours per year across 300 FTEs and reduce human errors and duplicated refunds. More importantly, it will improve quality output and protect revenue for the business.

PII DETAILS

Does the system use, collect, receive, display, store, maintain, or disseminate IR Code 6103 taxpayer information: or any other type of Sensitive but Unclassified (SBU) information or PII such as information about IRS employees or outside stakeholders?

Yes

Does the system use, collect, receive, display, store, maintain, or disseminate Social Security Numbers (SSN's) or tax identification numbers (i.e., last 4 digits, etc.)?

Yes

What types of tax identification numbers (TIN) apply to this system?

Social Security Number (SSN)

List the approved Treasury uses of the SSN:

Interfaces with external entities that require the SSN

Statistical and other research purposes

Explain why the authorized use(s) above support the new or continued use of SSNs (or tax identification numbers).

SSNs are used to identify taxpayer account data.

Describe the planned mitigation strategy and forecasted implementation date to mitigate or eliminate the use of SSN's (or tax identification numbers).

There is no alternative to the use of the SSN for this program. The SSN is the significant part of the data being reviewed.

Employer Identification Number

Other Taxpayer Identification Number

Does this system use, collect, receive, display, store, maintain or disseminate other (non-SSN) PII (i.e., names, addresses, etc.)?

Yes

Specify the PII Elements:

Name
Mailing address
Phone Numbers
Date of Birth
Standard Employee Identifier (SEID)
Financial Account Numbers
Tax Account Information
Centralized Authorization File (CAF)

Does this system use, collect, receive, display, store, maintain, or disseminate SBU information that is not PII?

No

Are there other types of SBU/PII used in the system?

No

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

PII for federal tax administration is generally Internal Revenue Code Sections 6001, 6011, & 6012e(a)

SSN for tax returns and return information is Internal Revenue Code Section 6109

SSN for personnel administration (IRS Employees) is 5 USC & Executive Order 9397

Has the authority been verified with the system owner?

Yes

BUSINESS NEEDS AND ACCURACY

Explain the detailed business needs and uses for the SBU/ PII, and how the SBU / PII is limited only to that which is relevant and necessary to meet the mission requirements of the system. If SSNs (or tax identification numbers) are used, explicitly explain why use of SSNs meets this criteria. Be specific.

The business needs SBU/PII data as they are required data to process manual refunds. The SBU/PII collected in this system is used in the Internal Revenue Service (IRS) tax administration initiatives and strategies to: validate errors on manual refunds, and ensure overpaid accounts receive their proper refund. The SSNs are used to monitor tax accounts to ensure duplicate refunds not issued and if a duplicate refund is identified, ensure erroneous refund procedures completed.

How is the SBU/PII verified for accuracy, timeliness, and completion?

The SBU/PII will go through security checks and verification systems that are in place within IRS to verify that no duplicate refund is issued and if one is identified, perform duties to reclaim that refund. Master file has internal controls in place to ensure that SBU/PII details kept private. In order for users to obtain access, they must have a login credential.

PRIVACY ACT AND SYSTEM OF RECORDS

The Privacy Act requires Federal agencies that maintain a system of records to publish systems of records notices (SORNs) in the Federal Register for records from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence. The Privacy Act also provides for criminal penalties for intentional noncompliance.

Does your application or this PCLIA system pertain to a group of any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.

Yes

Identify the Privacy Act SORN(s) that cover these records.

IRS 24.030 Customer Account Data Engine Individual Master File

IRS 24.046 Customer Account Data Engine Business Master File

RESPONSIBLE PARTIES

Identify the individuals for the following system roles:

Official Use Only

INCOMING PII INTERFACES

Does the system receive SBU/PII from other systems or agencies?

Yes

Does the system receive SBU/PII from IRS files and databases?

Yes

Enter the files and databases:

System Name: Integrated Data Retrieval System (IDRS)

Current PCLIA: Yes

Approval Date: 10/26/2021

SA&A: Yes

ATO/IATO Date: 10/14/2021

Does the system receive SBU/PII from other federal agency or agencies?

Yes

For each federal interface, identify the organization that sends the SBU/PII, how the SBU/PII is transmitted and if there is an Inter-Agency Agreement (ISA) /Memorandum of Understanding (MOU).

Name: Business Fiscal Services

Transmission Method: Electronically transmitted via command codes

ISA/MOU: Yes

Does the system receive SBU/PII from State or local agency (-ies)?

No

Does the system receive SBU/PII from other sources?

No

Does the system receive SBU/PII from Taxpayer forms?

Yes

Please identify the form number and name:

Form Number: 706

Form Name: United States Estate (and Generation-Skipping Transfer) Tax Return

Form Number: 709

Form Name: United States Gift (and Generation-Skipping Transfer) Tax Return

Form Number: 720
Form Name: Quarterly Federal Excise Tax Return

Form Number: 730
Form Name: Monthly Tax Return for Wagers

Form Number: 843
Form Name: Claim for Refund and Request for Abatement

Form Number: 911
Form Name: Request for Taxpayer Advocate Service Assistance (And Application for Taxpayer)

Form Number: 911 (sp)
Form Name: Request for Taxpayer Advocate Service Assistance (And Application for Taxpayer)

Form Number: 940
Form Name: Employer's Annual Federal Unemployment (FUTA) Tax Return

Form Number: 940 (pr)
Form Name: Employer's Annual Federal Unemployment (FUTA) Tax Return (Puerto Rico Version)

Form Number: 941
Form Name: Employer's Quarterly Federal Tax Return

Form Number: 941 (pr)
Form Name: Employer's Quarterly Federal Tax Return (Puerto Rico Version)

Form Number: 941-X
Form Name: Adjusted Employer's Quarterly Federal Tax Return or Claim for Refund

Form Number: 941-X (pr)
Form Name: Adjusted Employer's Quarterly Federal Tax Return or Claim for Refund (Puerto Rico Version)

Form Number: 943
Form Name: Employer's Annual Federal Tax Return for Agricultural Employees

Form Number: 943 (pr)
Form Name: Employer's Annual Federal Tax Return for Agricultural Employees (Puerto Rico Version)

Form Number: 943-X (pr)
Form Name: Adjusted Employer's Annual Federal Tax Return for Agricultural Employees or Claim for Refund (Puerto Rico Version)

Form Number: 944
Form Name: Employer's Annual Federal Tax Return

Form Number: 944 (sp)
Form Name: Employer's Annual Federal Tax Return (Spanish Version)

Form Number: 944-X
Form Name: Adjusted Employer's Annual Federal Tax Return or Claim for Refund

Form Number: 944-X (SP)
Form Name: Adjusted Employer's ANNUAL Federal Tax Return or Claim for Refund (Spanish Version)

Form Number: 945
Form Name: Annual Return of Withheld Federal Income Tax

Form Number: 945-X
Form Name: Adjusted Annual Return of Withheld Federal Income Tax or Claim for Refund

Form Number: 990
Form Name: Return of Organization Exempt From Income Tax

Form Number: 990-BL
Form Name: Information and Initial Excise Tax Return for Black Lung Benefit Trusts and Certain Related Persons

Form Number: 990-EZ
Form Name: Short Form Return of Organization Exempt from Income Tax

Form Number: 990-PF
Form Name: Return of Private Foundation or Section 4947(a)(1) Trust Treated as Private Foundation

Form Number: 990-T
Form Name: Exempt Organization Business Income Tax Return (and proxy tax under section 6033(e))

Form Number: 1040
Form Name: U.S. Individual Income Tax Return

Form Number: 1040 (pr)
Form Name: Federal Self-Employment Contribution Statement for Residents of Puerto Rico

Form Number: 1040 (sp)
Form Name: U.S. Individual Income Tax Return (Spanish Version)

Form Number: 1040-C
Form Name: U.S. Departing Alien Income Tax Return

Form Number: 1040-NR
Form Name: U.S. Nonresident Alien Income Tax Return

Form Number: 1040-NR (sp)
Form Name: U.S. Nonresident Alien Income Tax Return (Spanish Version)

Form Number: 1040-SR
Form Name: U.S. Tax Return for Seniors

Form Number: 1040-SR (sp)
Form Name: U.S. Tax Return for Seniors (Spanish Version)

Form Number: 1040-SS
Form Name: U.S. Self-Employment Tax Return (Including the Additional Child Tax Credit for Bona Fide Residents)

Form Number: 1040-X
Form Name: Amended U.S. Individual Income Tax Return

Form Number: 1041
Form Name: U.S. Income Tax Return for Estates and Trusts

Form Number: 1042
Form Name: Annual Withholding Tax Return for U.S. Source Income of Foreign Persons

Form Number: 1045
Form Name: Application for Tentative Refund

Form Number: 1065
Form Name: U.S. Return of Partnership Income

Form Number: 1065-X
Form Name: Amended Return or Administrative Adjustment Request (AAR)

Form Number: 1120
Form Name: U.S. Corporation Income Tax Return

Form Number: 1120-C
Form Name: U.S. Income Tax Return for Cooperative Associations

Form Number: 1120-F
Form Name: U.S. Income Tax Return of a Foreign Corporation

Form Number: 1120-FSC
Form Name: U.S. Income Tax Return of a Foreign Sales Corporation

Form Number: 1120-H
Form Name: U.S. Income Tax Return for Homeowners Associations

Form Number: 1120-L
Form Name: U.S. Life Insurance Company Income Tax Return

Form Number: 1120-PC
Form Name: U.S. Property and Casualty Insurance Company Income Tax Return

Form Number: 1120-POL
Form Name: U.S. Income Tax Return for Certain Political Organizations

Form Number: 1120-REIT
Form Name: U.S. Income Tax Return for Real Estate Investment Trusts

Form Number: 1120-RIC
Form Name: U.S. Income Tax Return for Regulated Investment Companies

Form Number: 1120-S
Form Name: U.S. Income Tax Return for an S Corporation

Form Number: 1120-SF
Form Name: U.S. Income Tax Return for Settlement Funds (Under Section 468B)

Form Number: 1120-W
Form Name: Estimated Tax for Corporations

Form Number: 1120-X
Form Name: Amended U.S. Corporation Income Tax Return

Form Number: 1139
Form Name: Corporation Application for Tentative Refund

Form Number: 1310
Form Name: Statement of Person Claiming Refund Due a Deceased Taxpayer

Form Number: 2290
Form Name: Heavy Highway Vehicle Use Tax Return

Form Number: 2290 (sp)
Form Name: Declaracion del Impuesto sobre el Uso de Vehiculos Pesados en las Carreteras

Form Number: 8288
Form Name: U.S. Withholding Tax Return for Dispositions by Foreign Persons of U.S. Real Property Interests

Form Number: 8288-A
Form Name: Statement of Withholding on Dispositions by Foreign Persons of U.S. Real Property Interests

Form Number: 8288-B

Form Name: Application for Withholding Certificate for Dispositions by Foreign Persons of U.S. Real Property In

Form Number: 8302

Form Name: Direct Deposit of Tax Refund of \$1 Million or More

Form Number: 8308

Form Name: Report of a Sale or Exchange of Certain Partnership Interests

Form Number: 8379

Form Name: Injured Spouse Allocation

Form Number: 8849

Form Name: Claim for Refund of Excise Taxes

Does the system receive SBU/PII from Employee forms (e.g., the I-9)?

No

DISSEMINATION OF PII

Does this system disseminate SBU/PII?

No

PRIVACY SENSITIVE TECHNOLOGY

Does this system use social media channels?

No

Does this system use privacy-sensitive technologies such as mobile, global position system (GPS), biometrics, RFID, etc.?

No

Does the system use cloud computing?

No

Does this system/application interact with the public?

No

INDIVIDUAL NOTICE AND CONSENT

Was/is notice provided to the individual prior to collection of information?

Yes

How is notice provided? Was the individual notified about the authority to collect the information, whether disclosure is mandatory or voluntary, the purpose for which the information will be used, with whom the information may be shared, and the effects on the individual, if any, if they decide not to provide all or any of the requested information?

This is based on the taxpayer's filings.

Do individuals have the opportunity to decline from providing information and/or from consenting to particular uses of the information?

No

Why not?

Tax information are required to be provided.

How does the system or business process ensure 'due process' regarding information access, correction, and redress?

This system is only a research tool used to identify duplicate erroneous refunds. This system does not interact with taxpayers directly and thus "due process" is addressed by other IRS applications that directly interact with taxpayers. Any issues that are identified by these other means will submit changes to this system through automated methods so an auditable record may be maintained. Due process is provided pursuant to 5 USC.

INFORMATION PROTECTION

Identify the owner and operator of the system (could be IRS owned and operated; IRS owned, contractor operated; contractor owned and operated).

IRS Owned and Operated

The following people have access to the system with the specified rights:

IRS Employees

Users: Read Write

Managers: Read Only

System Administrators: Administrator

Developers: Administrator

IRS Contractor Employees

Contractor Users: Administrator

Contractor Managers: Administrator

Contractor System Administrators: Administrator

Contractor Developers: Administrator

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

Employees request access to IAT (and IAT sub-tools) by submitting a Business Entitlement Access Request System (BEARS) which must be approved by their manager.

RECORDS RETENTION SCHEDULE

Are these records covered under a General Records Schedule (GRS, IRS Document 12829), or has the National Archives and Records Administration (NARA) approved a Records Control Schedule (RCS, IRS Document 12990) for the retention and destruction of official agency records stored in this system?

Yes

How long are the records required to be held under the corresponding GRS or RCS, and how are they disposed of? In your response, please provide the GRS or RCS chapter number, the specific item number, and records series title.

The robotic manual refund monitoring tool is a research tool only and the SBU/PII it collects is systemically removed 90 days after the refund posts in accordance with RCS 29, Items 8 and 183, Document 12990, which require records to be retained only until they are no longer needed in the current operation. The SBU/PII is retained for 90 days in case of a CFO or GAO audit. After 90 days, the SBU/PII information is no longer needed and is systemically deleted by the tool. Item 8: Narrative and Statistical Reports. Recurring narrative, statistical, progress, production reports and Run No. GUF 83-40, Deleted Database Records (not covered elsewhere in this schedule). (1) Record Copy. AUTHORIZED DISPOSITION Destroy after 1 year. (2) All other copies. AUTHORIZED DISPOSITION Destroy when no longer needed in current operations. Item 183: Transcripts of Accounts requests and related documents. (Job No. N1-58-94-4) AUTHORIZED DISPOSITION Destroy 5 years after end of processing year, or when no longer needed in current operations, whichever is sooner.

SA&A OR ASCA

Has the system been through SA&A (Security Assessment and Authorization) or ASCA (Annual Security Control Assessment)?

No

Is the system secured in accordance with all applicable federal, treasury, and IRS security policy, procedures, and requirements?

Yes

Describe the system's audit trail.

System's audit trail can be found on manual refunds and posting of the tax information on IDRS/master file.

PRIVACY TESTING

Does the system require a System Test Plan?

Yes

Is the test plan completed?

No

When is the test plan scheduled for completion?

9/1/2022

Describe what testing and validation activities have been conducted or are in progress to verify and validate that the applicable Privacy Requirements (listed in header) have been met?

Has not been done yet

SBU DATA USE

Does this system use, or plan to use SBU Data in Testing?

No

NUMBER AND CATEGORY OF PII RECORDS

Identify the number of individual records in the system for each category:

IRS Employees: Under 50,000

Contractors: Under 5,000

Members of the Public: Not Applicable

Other: No

CIVIL LIBERTIES

Does the system maintain any information describing how any individual exercises their rights guaranteed by the First Amendment?

No

Is the system information used to conduct 'data-mining' as defined in the Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53, Section 804?

No

Will this system have the capability to identify, locate, and monitor individuals or groups of people?

No

Does computer matching occur?

No

ACCOUNTING OF DISCLOSURES

Does the system include or require disclosure of tax or employee information to anyone other than IRS employees in the performance of their duties, or to the person to whom the information pertains or to a 3rd party pursuant to a Power of Attorney, tax, or Privacy Act consent?

Yes

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.

Yes