

Date of Approval: 07/02/2024
Questionnaire Number: 1338

Basic Information/Executive Summary

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

AUR_EXAM Authenticated Chat Bot

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 AUR_EXAM Authenticated Chat Bot will provide case specific information to taxpayers, which aligns with strategic objective 1; improve services to help taxpayers.

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).

Once the taxpayer authenticates and returns to the chat bot, an API call will be made to the AUR/Exam system with the TIN and tax year. This will be used to access the taxpayers account to look up specific information for the inquiry in the AUR/Exam systems. The AUR/Exam systems will be updated to document the authenticated chat and will be a part of the case file.

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

Address

Email Address

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

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)?

Yes

1.2 What is the IRA Initiative Number?

FY 2024 Inflation Reduction Act (IRA) Objective 1 Dramatically improve services to help taxpayers meet their obligations and receive the tax incentives for which they are eligible.

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

Application

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.

SSN is passed by Secure Access Digital Identity (SADI) during the authentication and authorization process for individual taxpayers and Powers of Attorney. It is used to provide support services to taxpayers to authenticate them for the chat bot to access to account level information. Once authenticated, the chat bot can access the taxpayer's account through an API call to the AUR/Exam system and provide

account specific answers to the taxpayer's inquiries through Taxpayer Digital Communication (TDC) eGain, the platform used for the chat bot.

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?

5840

1.7 What are the changes and why?

This PCLIA is required to launch authenticated chat bots which will be able to provide taxpayers with specific account information. Currently, AUR and Exam have unauthenticated chat bots and do not look up taxpayer accounts nor obtain taxpayer identifying information.

1.8 If the system is on the As-Built-Architecture, what is the ABA ID of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID for each application covered separated by a comma.

As-Built Architecture (ABA) for eGain Solve-Chat-External (eSC).

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.

WebApps 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?

No, the Chat Bot will only provide pre-scripted answers and does not use AI in any way.

3.3 Does this system use cloud computing?

No

3.4 Is there a breach/incident plan on file?

Yes

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

Yes

3.61 If the system requires the user to authenticate, was a Digital Identity Risk Assessment (DIRA) conducted?

Yes

3.63 If individuals do not have the opportunity to give consent to collect their information for a particular use, why not?

Per Contact Center Support Division (CCSD): For eGain Chat, a message is displayed in the pre-chat screen with legally approved language before starting a chat session. The IRS notifies all individuals who file tax returns of such collection via the Privacy Act Notice which provides the legal right to ask for information under Internal Revenue Code sections 6001, 6011, and 6012(a), and their regulations. Under these sections, response is mandatory. Code section 6109 requires the individual provide an identifying number. SADI is the means of authentication and doing the collection of information. There is a notice informing taxpayer of the need to first verify their identity. If the source is a federal tax form, then notice was given. Users can decline the chat session if they don't want to share the required information.

3.64 If the individual was not notified of the following items prior to the collection of information, why not? 1) Authority to collect the information 2) If the collection is mandatory or voluntary 3) The purpose for which their information will be used 4) Who the information will be shared with 5) The effects, if any, if they don't provide the requested information.

Yes

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

The taxpayer can access case specific information through the chat bot.

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

IRS Owned and Contractor Operated

4.2 If a contractor owns or operates the system, does the contractor use subcontractors?

No

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

Per PCLIA #1121

4.51 How many records in the system are attributable to IRS Employees? Enter “Under 50,000”, “50,000 to 100,000”, “More than 100,000” or “Not Applicable”.

Under 50,000

4.52 How many records in the system are attributable to contractors? Enter “Under 5,000”, “5,000 to 10,000”, “More than 10,000” or “Not Applicable”.

Under 5,000

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?

Access to the system is provided via a BEARS entitlement request which is sent to IRS Online Services (OLS) and/or System Administrator for approval.

Manager approval is required and once processed, the user will have access to the system with specific permissions based on roles which allows them to only see what they have permissions for.

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?

Processes are currently in place to ensure 'due process' is followed as it is done today via phone, mail, or in-person communications. These processes may be modified for the Authenticated Chat Bot but the rules for handling PII are the same. The Authenticated Chat Bot is a communication platform only and any disclosure breaches are handled in the same manner as phones.

5.11 Is there a Risk Assessment Form and Tool (RAFT) associated with this system on file with your organization or the IRS Risk Office.

No

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

Secure Access Digital Identity (SADI)

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

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.

Surveys will be offered to the taxpayer at the end of the Chat Bot interaction. Responses will be used to measure/improve the program.

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

Authenticated Chat Bot interactions will be documented in the AUR and Exam systems in the same manner as a phone call.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

General Operation Support - 5.2 Transitory and Intermediary Records

What is the GRS/RCS Item Number?

020

What type of Records is this for?

Electronic

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

Records that meet the following conditions: They exist for the sole purpose of creating a subsequent record and They are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. This includes certain analog and electronic source records for electronic systems that are not otherwise excluded. For specific examples, see the GRS 5.2 Frequently Asked Questions (FAQs).

What is the disposition schedule?

Destroy when no longer needed for business use, or according to an agency predetermined time or business rule.

Data Locations

What type of site is this?

Environment

What is the name of the Environment?

eGain

What is the sensitivity of the Environment?

Federal Tax Information (FTI)

Please provide a brief description of the Environment.

Two-way communication platform between the IRS and the taxpayer to provide information requested and answer inquiries.

What are the incoming connections to this Environment?

Direct Connection from Customer's device (Phone, PC, etc.)

What are the outgoing connections from this Environment?

Direct connection from IRS site behind the firewall.