

Date of Approval: 04/19/2024
Questionnaire Number: 1167

Basic Information/Executive Summary

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

Exam/AUR Mid-Chat Authentication

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.

Mid-Chat Authentication will allow IRS customer support representatives (chat assistants) to provide real-time chat assistance to taxpayers who authenticate via SADI. Once authenticated, the chat assistants will be able to provide account specific answers to the taxpayer's questions.

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, the assistor will have the taxpayer's name and TIN in the Customer tab. They will use the TIN to access the taxpayer's account to look up specific information for the inquiry in the Exam/AUR systems and/or IDRS. The Exam/AUR 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

Centralized Authorization File (CAF)

Email Address

Employer Identification Number

Employment Information

Family Members

Individual Taxpayer Identification Number (ITIN)

Internet Protocol Address (IP Address)

Name

Other

Professional License Number

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

Tax ID Number

Telephone Numbers

Vehicle Identification Number (VIN)

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

Any Info currently provided via phone call for any IRS Exam/AUR case.

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 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 assistors to access to account level information. Once authenticated, the assistor can access the taxpayer's account and provide account specific answers to the taxpayer's inquiries through Taxpayer Digital Communication (TDC) eGain, the platform used for chat.

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?

5480

1.7 What are the changes and why?

This PCLIA is required to launch mid-chat authentication to be able to provide taxpayers with specific account information via chat. Currently, Exam and AUR have unauthenticated chat only 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.

ABA for eGain Chat is eSC. As-Built Architecture (ABA) (IRS.gov)

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

Execution

1.95 If this system has a parent system, what is the PCLIA Number of the parent system?

Not Applicable

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".

Not Applicable

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

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

3.62 Please upload the approved DIRA report using the Attachments button.

DIRA Uploaded

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

Per 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.

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

The taxpayer can provide corrected information to the IRS assistor through the chat to bring their case to closure.

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.

IRS Employees: Users, Managers (Read and Write Access)

IRS Employees: Developers (Administrator Access)

Contractors: Contractor System Administrator (Read Only Access)/Background Level High

Contractors: Contractor Developers (Administrator Access)/Background Level High

Background Investigations are complete.

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

4.54 If records are attributable to a category not mentioned above in 4.51 through 4.53, please identify the category and the number of corresponding records to the nearest 10,000. If none, enter "Not Applicable".

Not Applicable

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 chat but the rules for handling PII are the same. TDC Chat 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.

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.

Chats will be documented in the Exam and AUR 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?

Transitory and Intermediary Records

What is the GRS/RCS Item Number?

GRS 5.2, item 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.

What is the disposition schedule?

Some eGain data files are approved for deletion/destruction under the National Archives and Records Administration's (NARA) General Records Schedules (GRS). Records related to general customer service operations (administrative support) including communications with the public regarding status of customer support, tickets and tracking logs, reports on customer management data, customer feedback should be managed according to GRS 5.2, Item 020: Temporary. Disposition Instructions: Destroy when no longer needed for business use, or according to an agency predetermined time or business rule. All other eGain case/business-specific records are currently unscheduled and cannot be deleted/destroyed from the system until data retention rules are finalized and NARA-approved. The Records Office is working with IT and business unit stakeholders to address system recordkeeping requirements, including the final disposition of eGain case-related data.

Data Locations

What type of site is this?

Environment

What is the name of the Environment?

eGain Chat

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.