

Date of Approval: 09/26/2024
Questionnaire Number: 1402

Basic Information/Executive Summary

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

VITA GenAI Proof of Concept (usability review portion)

Business Unit

Office of Online Services

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.

PoC to test AI capabilities using multiple data sources to assist VITA Volunteers while preparing taxes without having to manually search for required information. This PCLIA form (for surveying users) is to cover the volunteers' input regarding usability of the tool during the proof of concept. A system PTA #1453 also submitted.

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).

SPEC will decide what volunteers will be used to test the chatbot. The volunteers will be trained on the use of the chatbot via a Teams meeting.

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

Email Address

Internet Protocol Address (IP Address)

Name

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)

1.1 Is this survey a result of the Inflation Reduction Act (IRA)?

No

1.13 What is your research method(s) used (i.e., survey, telephone interview, focus group, etc.)?

Survey (scoring 1-4)

1.14 Is this a new survey, telephone interview, focus group, or usability testing?
Throughout the rest of this questionnaire, we will use the term "survey" to include all of these.

Yes

1.19 Which Business Unit (BU) is requesting this survey?

Online Services (OLS)

1.21 Who will the survey be administered to?

Stakeholder Partnerships, Education, and Communication (SPEC) Volunteers

1.22 Will the survey be administered annually (3-year expiration)?

One year only

1.22 Is this a reoccurring survey?

No

1.22 What is the start date?

August 30, 2024

1.22 Will this survey be administered for one year with multiple events (1-year expiration)?

No

1.23 What is the end date?

December 31, 2024

2.11 Will the survey capture any type of PII or is PII (names, addresses, email addresses, etc.) used to select participants?

Yes

2.12 If any PII data is collected, disclosed, or studied on individuals who choose not to participate, please describe the data.

Yes

2.13 List any linkable data that the survey uses, collects, receives, displays, stores, maintains, or disseminates (gender, ethnicity, parts of address, tax filing information, etc.) or uses to select participants?

None

2.14 Explain how the participants are selected. Include a detailed description. Please provide your research plan as supporting documentation.

SPEC will determine who will participate in this pilot test. Could be based on tax preparation experience and tax preparation knowledge.

2.15 How are the participants notified (letter, postcard, email, etc.) of the survey, and if the survey is voluntary/optional, how is notice given? If it is not voluntary, please explain why it is mandatory.

The participants will be advised by their management via email that they have been selected to test the pilot. They will have the option to participate in the testing of the pilot. They will ask the chatbot a question and will score the response as to the accuracy and completeness of the answer provide by the chatbot. The scores will be stored for analysis to determine the usefulness and applicability for use in the future.

3.11 What tool(s) is/are used to conduct the survey? Please indicate if the anonymous feature has been set for the survey, if applicable.

Electronically via in-context clickable link within the chatbot.

3.12 Will the survey be audio-recorded or video-recorded?

No

4.11 Does this survey retrieve information by any personal identifier for an individual who is a U.S. citizen, or an alien lawfully admitted for permanent residence? If the answer is Yes, you must have at least one SORN name and number selected in the SORNs section.

Yes

4.12 The Privacy Act of 1974 (5 USC § 552a(e)(3)) requires each agency that maintains a system of records to inform each individual requested to supply information about themselves. Do survey participants provide information about themselves?

No

4.14 Does the IRS administer (conduct) the survey?

Yes

4.15 Provide the name of the IRS office administering the survey.

OLS

4.18 Does the IRS perform analysis of the survey results?

Yes

4.19 Provide the name of the IRS office performing the analysis of the survey.

Integrated Enterprise Portal (IEP) Innovation team and Online Services (OLS) will adhere to/request all required cybersecurity policies/procedures/certification requirements.

4.21 If a contractor administers (conducts) and analyzes the survey, is all work performed and contained in the United States?

Yes

4.22 How does the administrator of the survey protect employees' or taxpayers' SBU/PII from compromise, loss, theft, or disclosure?

The administrator of the survey does not have any of the volunteer information. The SPEC representative invited selected volunteers to attend a demonstration meeting via Teams. Those who accepted the meeting invite will join the training session. I will send the chatbot URL via Teams chat functionality. The information is protected within Microsoft Teams and only those who accepted the invite.

4.23 Where and how is the PII stored and protected?

The volunteer's name and email information is stored in the Teams' meeting invite. Protected by Microsoft Teams.

4.27 Identify the roles and their access level to the PII data.

SPEC leadership will email the names and emails of the volunteers to the SME or Project Manager.

4.28 Explain the precautions taken to ensure the survey results will not be used for any other purpose not listed in the Detailed Business Purpose and Need section and to ensure that employees or taxpayers who participate in the survey cannot be identified or re-identified under any circumstances and no adverse actions taken.

The survey data will only be used for the project it was collected for and used for purposes identified in this PCLIA.

4.29 Does the administrator of the survey have access to information identifying participants?

No

5.11 For employee or taxpayer satisfaction surveys explain how you have ensured that no "raw" or unaggregated employee or taxpayer data will be provided to any IRS office.

No PII will be included in the results provided to the IRS.

5.13 Does the individual about whom the information was collected or maintained expressly authorize its collection/maintenance?

Yes

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

via email

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure email/Zixmail

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 10.555- Volunteer Records

Describe the IRS use and relevance of this SORN.

Provide information to volunteers who coordinate activities and staffing at taxpayer assistance sites.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Public customer service operations records GRS 6.5

What is the GRS/RCS Item Number?

GRS 6.5 Item 10

What type of Records is this for?

Electronic

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

Records from operating a customer call center or service center providing services to the public. Services may address a wide variety of topics such as understanding agency mission-specific functions or how to resolve technical difficulties with external-facing systems or programs.

What is the disposition schedule?

Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

Data Locations

What type of site is this?

Environment

What is the name of the Environment?

Google Cloud Platform

What is the sensitivity of the Environment?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the Environment.

VITA Chatbot

What are the incoming connections to this Environment?

Accenture Federal Services (AFS) Google Cloud Environment is where the chatbot resides. A link to the chatbot is provided for use to test.