

Date of Approval: 12/17/2024
Questionnaire Number: 1680

Basic Information/Executive Summary

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

Volunteer Income Tax Assistance (VITA) Generative Artificial Intelligence
(GenAI) Chatbot Proof of Concept (PoC)

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

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Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

This Generative Artificial Intelligence (GenAI) chatbot Proof of Concept (PoC) will be tested by a select number of Volunteer Income Tax Assistance (VITA) and Tax Counseling for the Elderly (TCE) program volunteers during the 2025 tax filing season while preparing taxes without having to manually search for answers to tax questions across multiple tax publications and instructions. This PoC will allow the Internal Revenue Service (IRS) to achieve its mission by evaluating if using a GenAI chatbot can feasibly improve efficiency and user experience. Robotics Process Automation (RPA) Questionnaire #1705 is the system Questionnaire associated to this survey one.

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).

Stakeholder Partnerships, Education & Communication (SPEC) determine what volunteers will be used to use and 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

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?

Office of Online Services

1.21 Who will the survey be administered to?

Only select Stakeholder Partnerships, Education, and Communication (SPEC) Program Volunteers.

1.215 Is this a reoccurring survey?

No

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

No

1.22 What is the start date?

January 21, 2025

1.23 What is the end date?

April 25, 2025

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?

Name and email

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

The volunteers were selected by Stakeholder Partnerships, Education & Communication (SPEC) based on tax preparation experience.

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 are notified via IRS email.

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.

The tool used to conduct the survey is the chatbot itself. The scoring is 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.

Office of Online Services

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)

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 volunteers name and email information is stored in the Teams' meeting invite. Protected by Microsoft Office and Teams.

4.24 Provide the Cyber Security approved security and encryption used when data is transferred electronically from the IRS to contractors and back to the IRS.

IRS Microsoft Office email encrypted.

4.25 How is the survey PII protected and stored when it is housed at a contractor site on contractor computers? Provide a detailed explanation of the physical and electronic security and protection of the data before, during and after the survey.

The information is stored within the chatbot itself, which is under the IRS security and Amazon Web Services policy.

4.26 Has a Contracting Officer or Contracting Officer's Representative (COR) verified the contract included privacy and security clauses for data protection and that all contractors have signed non-disclosure agreements which are on file with the COR?

Yes

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

Stakeholder Partnerships, Education and Communication (SPEC) leadership will email the names and emails of the volunteers to the SME or Project Manager. The roles will be User for the volunteers and Administrator for developers and Office of Online Services involved in proof of concept. Users will not be able to access any PII or feedback from other volunteers.

4.28 Identify the roles and their access level to the PII data and indicate whether their background investigation is complete or not.

Users will not have access to PII, and the Administrators will. The number of Administrators who will have access is limited to the developers and the Office of Online Services Proof of Concept team members. Yes. The background investigation is complete for the administrators of this chatbot proof of concept.

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

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.

A SORN serves as a promise to the public that the IRS will not do anything with their individual information other than what's described in the published notice. 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.

The chatbot is in the Amazon Web Services environment under the Integrated Enterprise Portals (IEP) 1.5 contract.

What are the incoming connections to this Environment?

Portable Document Format (PDF) documents from IRS.gov.

What are the outgoing connections from this Environment?

The data is stored in Integrated Enterprise Portals Google Cloud Project (IEP-GCP), but there are copies of the publicly available documents from IRS.gov.