Basic Information/Executive Summary

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

eGain Solve-Chat-External for Collection Operations

Acronym:

eSC

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 Service and User & Network Services (UNS) utilizes eGain Solve™, an omnichannel customer engagement software suite which is implemented as a Managed Services solution, hosted in an Amazon Web Services (AWS) GovCloud private cloud environment. eGain is the Managed Service Provider (MSP) that manages the system. eGain Chat™ enables the Service to offer real-time chat assistance to website visitors. Agents can exchange text messages, files,

web pages, and knowledge base articles with visitors to answer their queries, proactively as well as reactively. Currently, the Service is offering both unauthenticated & authenticated chat to taxpayers in the Online Payment Agreement. Initially, the Chat begins as unauthenticated where the taxpayer can ask general questions, and the assistor provides online options to resolve the issue. If the Chat reaches a point where access to the taxpayer account is needed to resolve the issue, the assistor will request additional authentication from the user to allow them to view the taxpayer's IRS account(s) and help answer the inquiry (aka: mid-level authentication). Currently, authenticated chats are not offered to powers-of-attorney (POAs) and are only available to individuals. Collection will use this same functionality approved under PCLIA 1121a for the Centralized Lien Operations (CLO) and Automated Substitute for Return (ASFR) programs. The taxpayer participation is voluntary. The benefits of this functionality align with the IRS strategic goal of improving service to make voluntary compliance easier. In March 2025, the Automated Collection System (ACS) chatbot will add Live Assistance services for the Centralized Lien Operations (CLO) and Automated Substitute for Returns (ASFR) programs. The CLO and ASFR bots have the capability of escalating to a live assistor for accounts in specific IDRS statuses for balance due and notice status. The following is a high-level overview of the process: • Accounts in an open or closed Collection account, including, but not limited to balance due, notice, or closed status will be offered the opportunity to interact with the CLO, ASFR and Withholding Compliance (WHC) chatbot for questions relating to their issue. • Taxpayers will be offered an opportunity to chat with a live assistor for the CLO and ASFR bots if needed. • Taxpayers in the ASFR and CLO live chat will be provided a link to ID.me to authenticate their identity (mid-chat authentication). • The only items that will be disclosed over live chat would be account balances, delinquent returns, payoff amounts, notice of federal tax lien, and release of notice of federal tax lien (tax period, balances, name on lien, taxpayer address, filing location information), and transcript information. • The assistor will be able to access the taxpayer's account on the ACS, Accounts Management System (AMS), Automated Lien System (ALS), Automated Substitute for Return (ASFR), Integrated Data Retrieval System (IDRS), the Document Upload Tool User Interface (DUT UI) and the Digital Inventory Management (DIM) system to respond to the taxpayer's account specific questions regarding their balance due, missing tax return(s) or tax lien. • Most outputs will be sent to the taxpayer to the method of their choice, i.e., address of record or secure fax, such as copies of previously issued IRS notices, copies of lien releases and lien payoff letters. • After the chat is completed, taxpayers will not be able to access the chat transcript unless they have saved a local copy. While the chat transaction itself does not save, update, modify or delete any existing records, IRS chat assistors can act on accounts based on the text chat discussions (e.g., issuing a lien release, payoff letter, or closing letter.) Taxpayers/Collection employee may provide Personally Identifiable Information or Sensitive But Unclassified (PII/SBU) such as their name, address, taxpayer identification number in the chat after the taxpayer successfully authenticates. The

information exchanged would be similar to information exchanged in a telephone interaction. Example, taxpayer asks for a payoff amount of his/her tax lien. The Collection employee would provide the balance in the chat.

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).

For authenticated live chat interaction, taxpayers can provide PII during their interactions with IRS Agents. This data is visible to the taxpayer and the Agent; it is also retained as transcript. eGain has a Cybersecurity-approved audit plan last revised in Sept 2020. A complete audit trail of the use of the system is captured and ingested by SPLUNK. The system monitors for security risks and compliance violations to ensure that the use of the system takes place only for an approved purpose that is within the professional responsibility of each user It records all actions of the taxpayer/user in near-real-time and transmits to Enterprise Security Audit Trail (ESAT)/Security Audit and Analysis System (SAAS) logs for Cybersecurity review. The audit trail contains the audit trail elements as required in current 10.8.1.3.3, Audit and Accountability Policy and Procedures The content of the audit record includes the following data elements: USERID, USER TYPE, SYSTEM, EVENTID, TAXFILERTIN, TIMESTAMP (e.g., date and time of the event), ADDITIONAL APPLICATION DATA (action taken of user when creating the event). The following transactions fall under the criteria of an Auditable Event: Log onto the system [Log in, Session Created] (Success, Fail), Log off the system [Log out, Session Completed] (Success, Fail), all agents (privileged) events, all system and data interactions concerning Personally Identifiable Information (PII) and Sensitive but Unclassified (SBU), to include external user data [Session Created, Session Completed, Session Timed Out] (Success, Fail). The collection and management of auditable data complies with IRS, Treasury, and other federal requirements which require the following data elements to be audited.

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

Address

Federal Tax Information (FTI)

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

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?

FY2024 Inflation Reduction Act (IRA) Objective 1: dramatically improve services to help taxpayers meet their obligations.

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

System

1.35 Is there a data dictionary for this system?

Yes

1.36 Explain in detail how PII and SBU data flow into, through and out of this system.

Once the taxpayer authenticates and returns to the chat, the assistor will have the taxpayer's name, taxpayer identification number (TIN) in the customer tab. The assistor will use the TIN to access the taxpayer's account [i.e., Integrated Data Retrieval System (IDRS), Accounts Management System (AMS)]to look up specific information for their inquiry. Additional comments: the Social Security Number (SSN) is passed by the Secure Access Digital Identity (SADI) during the authentication and authorization process for individual taxpayers. It is used to provide support services to taxpayers to authenticate them for assistors to access to account level information. Once authenticated, the assistor is able to access the taxpayer's account and provide account specific answers to the taxpayer's inquiries through 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?

1121

1.7 What are the changes and why?

We are adding live chat functionality to the existing Collection Live Chat for the CLO and ASFR units.

1.8 If the system is on the As-Built-Architecture (ABA), what is the ABA ID number of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID number(s) for each application covered separated by a comma. If the system is not in the ABA, then contact the ABA (https://ea.web.irs.gov/aba/index.html) for assistance.

ABA # for eSC is 211459.

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 four digit PCLIA Number of the parent system?

5188

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?

Yes

3.2 What is the methodology used and what database is training your AI?

This project implemented the chatbot, which provides self-service Frequently Asked Questions (FAQ) to taxpayers regarding selected topics. The Intent Engine (using Natural Language Processing (NLP) and AI algorithms) classifies taxpayers' utterances (questions) into intents (requests). The answers provided to the taxpayers are not created by Generative AI. The responses of the chatbot and business logic is predetermined by content owners. This AI tool aims to classify/navigate to a correct predetermined response.

3.3 Does this system use cloud computing?

Yes

3.31 Please identify the Cloud Service Provider (CSP), FedRAMP Package ID, and date of FedRAMP authorization.

Amazon Web Services (AWS) GovCloud, F1603047866, 6/21/2016 eGain, FR2023601671, 12/15/2021

3.32 Who has access to the CSP audit data (IRS or 3rd party)?

They are a Software as a Service (SaaS) provider, which only allows auditing data files and logs, but not server level components. Auditing data is being transferred to IRS through data log files, as well as there are eGain base platform auditing log in the application. eGain Chat: CSP Allows Auditing: The contractor audits CSP audit data. (Let PGLD know this answer needs to be redacted) and eGain Virtual Assistant: CSP Allows Auditing, IRS Audits Data

3.32 Does the CSP allow auditing?

Yes

3.33 Please indicate the background check level required for the CSP (None, Low, Moderate or High).

High

3.4 Is there a breach/incident plan on file?

Yes

3.5 Does the data physically reside in systems located in the United States and its territories and is all access and support of this system performed from within the United States and its territories?

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

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

Uploaded

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

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 have the ability to 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.

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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 have the ability to decline the chat session if they don't want to share the required information.

3.65 If information is collected from third-party sources instead of the individual, please explain your decision.

N/A

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

Processes are currently in place to ensure 'due process' is followed as it is done today via phone. These processes may be modified for eGain Solve but the rules for handling PII are the same. If a caller views information as being incorrect, they will be able to communicate with IRS resources to make the requisite changes. eGain Solve is a communication platform only. IRS users also need to submit a BEARS request that is approved by management before being granted access to the system. Once access is granted, each user of eGain Solve is granted permission and roles that only allow them to see what they have permission for. Finally, all access to customer data is auditable with full tracking capability.

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".

N/A

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

Access to the eGain is requested via Business Entitlement Access Request System (BEARS). Data access is granted on a need-to-know basis. The BEARS enrollment process requires that an authorized manager approve access requests on a case-by-case basis. Access approval is based on the Users role(s) and responsibilities. Users are given the minimum set of privileges required to perform their regular and recurring work assignments; they are restricted from changing the boundaries of their access without management approval. Write, Modify, Delete, and/or Print) are defined on BEARS and set (activated) by the System Administrator prior to the user being allowed access. User privileges and user roles determine the types of data that each user has access to. Management monitors system access and removes permissions when individuals no longer require access.

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. eGain 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

    Enterprise Security Audit Trail (ESAT)

Incoming/Outgoing

    Incoming (Receiving)

Agency Agreement

    No

Transfer Method

    Electronic File Transfer Utility (EFTU)

Interface Type

    IRS Systems, file, or database

Agency Name

    Unified Contact Center Enterprise (UCCE)

Incoming/Outgoing

    Both

Agency Agreement

    No

Transfer Method

    IPSEC TUNNEL

Interface Type

    IRS Systems, file, or database

Agency Name

    Secure Access Digital Identity (SADI)

Incoming/Outgoing

    Both

Agency Agreement

No

Transfer Method

Amazon Web Services Platform (AWS)

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 document in the Collection 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?

5.2

What is the GRS/RCS Item Number?

020

What type of Records is this for?

Both (Paper and Electronic)

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

General Record Schedule (GRS) - 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 6.5, Item 010: Temporary. Disposition Instructions: Destroy when no longer needed for business use, or according to an agency predetermined time period or business rule.

What is the disposition schedule?

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.

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)

What is the URL of the item, if applicable?

N/A

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.

What type of site is this?

System

What is the name of the System?

SPLUNK

What is the sensitivity of the System?

Sensitive But Unclassified (SBU)

What is the URL of the item, if applicable?

N/A

Please provide a brief description of the System.

Splunk is a Security Information and Event Management (SIEM) software solution tool composed of various dashboards that more and more IRS employees are using to aggregate and/or analyze security data for systems/applications.

What are the incoming connections to this System?

A data extraction is performed as per National Institute of Standard Technology controls.

What are the outgoing connections from this System?
N/A