

Date of Approval: **August 24, 2023**

PIA ID Number: **7213**

SYSTEM DESCRIPTION

Enter the full name and acronym for the system, project, application and/or database.

eGain Solve - Chat, eGain - Chat

Is this a new system?

No

Is there a PCLIA for this system?

Yes

What is the full name, acronym, and milestone of the most recent PCLIA?

Taxpayer Digital Communications, TDC 5188

What is the approval date of the most recent PCLIA?

9/1/2020

Changes that occurred to require this update:

New Access by IRS employees or Members of the Public

Were there other system changes not listed above?

No

What governance board or Executive Steering Committee (ESC) does this system report to? Full name and acronym.

Web Applications Governance Board & Strategic Development Executive Steering Committee (ESC)

Current ELC (Enterprise Life Cycle) Milestones:

Operations & Maintenance (i.e., system is currently operational)

Is this a Federal Information Security Management Act (FISMA) reportable system?

Yes

GENERAL BUSINESS PURPOSE

What is the general business purpose of this system? Provide a clear, concise description of the system, application or database, the reason for the system, and the benefits to the IRS to use the information, and how the information will be used.

IRS employees are able to access Employee Resource Center and IT Service Desk self-service tools via an intranet Chatbot. The self-service Chatbot feature is further enhanced by also offering employees the ability to chat directly with an IT Service Desk or ERC agent if they require further assistance. The integration of two existing IRS technologies further enhances IRS employee services by offering them the option of obtaining support via multiple communication channels to include telephone and web chat. Integrating the existing eGain Solve Cloud based solution for Web Chat and the existing Premise Based Cisco UCCE solution for Contact (telephone/chat) Routing, enables the IRS to intelligently deliver Telephone and Web Chat communications to the appropriately skilled IRS Contact Center Agent who can most efficiently answer the customer inquiry. The single intelligent routing engine (Cisco UCCE) establishes the ability to cross-utilize Contact Center agents to handle telephone and digital (web chat) customer contacts while managing what type of customer communication each Contact Center agent receives. This in turn maximizes customer access to the same skilled IRS resources regardless of their preferred communication channel.

PII DETAILS

Does the system use, collect, receive, display, store, maintain, or disseminate IR Code 6103 taxpayer information: or any other type of Sensitive but Unclassified (SBU) information or PII such as information about IRS employees or outside stakeholders?

Yes

Does the system use, collect, receive, display, store, maintain, or disseminate Social Security Numbers (SSN's) or tax identification numbers (i.e., last 4 digits, etc.)?

No

Does this system use, collect, receive, display, store, maintain or disseminate other (non-SSN) PII (i.e., names, addresses, etc.)?

Yes

Specify the PII Elements:

Name
Phone Numbers
E-mail Address
Standard Employee Identifier (SEID)

Does this system use, collect, receive, display, store, maintain, or disseminate SBU information that is not PII?

No

Are there other types of SBU/PII used in the system?

No

Cite the authority for collecting SBU/PII (including SSN if relevant).

PII for personnel administration is 5 USC

Has the authority been verified with the system owner?

Yes

BUSINESS NEEDS AND ACCURACY

Explain the detailed business needs and uses for the SBU/ PII, and how the SBU / PII is limited only to that which is relevant and necessary to meet the mission requirements of the system. If SSNs (or tax identification numbers) are used, explicitly explain why use of SSNs meets this criteria. Be specific.

The Internal - eGain Solve - Chatbot will enable the Employee Resource Center and IT Service Desk to offer employee access to Self-Service tools via a Chatbot. Access to a live agent chat is also available in cases where the employee requires additional information. For ERC, Travel representatives will handle any employee issues associated with ConcurGov documents. Information shared via the chatbot and/or chat interaction could include any of the following: Employee Name, Standard Employee Identification (SEID), email, travel authorization number, cost center/organization code, and/or name of employee's manager. (In rare instances names of other employees in their work group or dates and/or location of last Temporary Duty (TDY) will be used to determine what cost center/routing list they should be associated to.) For the IT Service Desk, IRS employees will have access to answers for General IT Questions through the chatbot and will have the option to chat with an IT Service Desk employee if they require additional information. Contact information and SEID may be shared during these interactions. The eGain Solve to Cisco UCCE integration, enables IRS to intelligently route all customer contacts, regardless of channel (phone/chat), with a single routing engine.

How is the SBU/PII verified for accuracy, timeliness, and completion?

The eGain Solve system will be accessed by IRS employees that will receive and analyze any PII information that is contained in digital communications. The information is received directly from the employee(s); therefore, eGain Solve deems the information as reliable and accurate. The information is not altered in anyway.

PRIVACY ACT AND SYSTEM OF RECORDS

The Privacy Act requires Federal agencies that maintain a system of records to publish systems of records notices (SORNs) in the Federal Register for records from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence. The Privacy Act also provides for criminal penalties for intentional noncompliance.

Does your application or this PCLIA system pertain to a group of any record from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence? An identifier may be a symbol, voiceprint, SEID, or other personal identifier that is used to retrieve information.

Yes

Identify the Privacy Act SORN(s) that cover these records.

OPM-Govt-1 General Personnel and Payroll Records

RESPONSIBLE PARTIES

Identify the individuals for the following system roles:

Official Use Only

INCOMING PII INTERFACES

Does the system receive SBU/PII from other systems or agencies?

No

DISSEMINATION OF PII

Does this system disseminate SBU/PII?

No

PRIVACY SENSITIVE TECHNOLOGY

Does this system use social media channels?

No

Does this system use privacy-sensitive technologies such as mobile, global position system (GPS), biometrics, RFID, etc.?

No

Does the system use cloud computing?

Yes

Is the cloud service provider (CSP) Federal Risk and Authorization Management Program (FedRAMP) certified?

Yes

Date Certified.

12/20/2021

Please identify the ownership of the CSP data.

IRS

Does the CSP allow auditing?

Yes

Who audits the CSP Data?

IRS

What is the background check level required for CSP?

Moderate

Is there a breach/incident plan on file?

Yes

Privacy laws (including access and ownership) can differ in other countries. This cloud will be Continental US (CONUS) only for:

Storage
Transmission
Maintenance

Does this system/application interact with the public?

No

INDIVIDUAL NOTICE AND CONSENT

Was/is notice provided to the individual prior to collection of information?

No

Why not? If information is not collected directly from an individual, please discuss the factors considered in deciding to collect information from third party sources.

This is an internal application enabling IRS ERC Travel Department Agents and IT Service Desk Employees to assist IRS employees in travel related and General IT support type activities. The employee shares information that helps ERC/IT Service Desk Agents to provide the necessary assistance.

Do individuals have the opportunity to decline from providing information and/or from consenting to particular uses of the information?

Yes

Describe the mechanism by which individuals indicate their consent choice(s):

Users have the ability to decline the chat session if they don't want to share the required information needed for the IRS ERC Agent or IT Service Desk Agent to provide support.

How does the system or business process ensure 'due process' regarding information access, correction, and redress?

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.

INFORMATION PROTECTION

Identify the owner and operator of the system (could be IRS owned and Operated; IRS owned, contractor operated; contractor owned and operated).

IRS Owned and Contractor Operated

The following people have access to the system with the specified rights:

IRS Employees

Users: Read Write

Managers: Read Write

Developers: Administrator

IRS Contractor Employees

Contractor System Administrators: Read Only

Contractor Developers: Administrator

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

Access to the eGAIN is requested via Online (OL) Form 5081 or Business Entitlement Access Request System (BEARS). Data access is granted on a need-to-know basis. The OL5081/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 the OL5081/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.

RECORDS RETENTION SCHEDULE

Are these records covered under a General Records Schedule (GRS, IRS Document 12829), or has the National Archives and Records Administration (NARA) approved a Records Control Schedule (RCS, IRS Document 12990) for the retention and destruction of official agency records stored in this system?

Yes

How long are the records required to be held under the corresponding GRS or RCS, and how are they disposed of? In your response, please provide the GRS or RCS chapter number, the specific item number, and records series title.

eGain data files are approved for deletion/destruction under a variety of National Archives and Records Administration-approved disposition authorities for specific batch programs. Records related to general customer service operations 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. Delete when superseded, obsolete, or when customer requests the agency to remove the records. To be consistent with other component, a 7-year retention is the recommended disposition timeframe. (To match GRS 6.1 Item 11 - Temporary Delete when 7 years old, but longer retention is authorized if required for business use.) Authenticated chats, since there are various pieces and BUs involved with this system, the March 2023 recommendation from the PGLD, Records & Information Management Office is to follow the email and messaging retention policy of 7 years. This would cover all appropriate retentions for all the BUs and their case file retentions they have in place: The General Records Schedule (GRS Transmittal 33 - dated January 2023) GRS 6.1 Email and Other Electronic Messages Managed under a Capstone Approach Item 11: Email and other types of electronic messages of non-Capstone officials. Email and/or other types of electronic messages of all other officials, staff, and contractors not included in item 010. Disposition Instruction: Temporary. Delete when 7 years old, but longer retention is authorized if required for business use. Disposition Authority: DAA-GRS-2022-0006-0002

SA&A OR ASCA

Has the system been through SA&A (Security Assessment and Authorization) or ASCA (Annual Security Control Assessment)?

Yes

What date was it completed?

6/30/2022

Describe the system's audit trail.

The system has a very detailed audit trail that is accessible and reportable. This is based on 2 primary system actions. The first is an 'activity'. An activity is a unit of work that may be a task, created to track an internal work item. It could also be an interaction between an IRS employee and an IRS support agent or an interaction between a supervisor and an IRS agent. These are all tracked in detail with a time and date stamp. All activities have a unique 'activity ID' assigned to them. The second is a 'case'. A case is used to group activities related to the same issue. Activities are tied to a case using a single identification number, the 'Case ID'. A case contains activities of various channels such as secure messages, email

notifications, chats, phone, or internal tasks. There is an 'audit' function of an activity that shows every single action that has occurred on an activity. It gives complete information from the moment the activity was created to where the activity is at present. Supervisory activities are also included in the audit information.

PRIVACY TESTING

Does the system require a System Test Plan?

No

Please explain why:

The eGain Solve system was tested with the original deployment of the solution.

SBU DATA USE

Does this system use, or plan to use SBU Data in Testing?

No

NUMBER AND CATEGORY OF PII RECORDS

Identify the number of individual records in the system for each category:

IRS Employees: Under 50,000

Contractors: Under 5,000

Members of the Public: Not Applicable

Other: No

CIVIL LIBERTIES

Does the system maintain any information describing how any individual exercises their rights guaranteed by the First Amendment?

No

Is the system information used to conduct 'data-mining' as defined in the Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53, Section 804?

No

Will this system have the capability to identify, locate, and monitor individuals or groups of people?

No

Does computer matching occur?

No

ACCOUNTING OF DISCLOSURES

Does the system include or require disclosure of tax or employee information to anyone other than IRS employees in the performance of their duties, or to the person to whom the information pertains or to a 3rd party pursuant to a Power of Attorney, tax, or Privacy Act consent?

No