

Date of Approval: 06/25/2025  
Questionnaire Number: 2332

## Basic Information/Executive Summary

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

Case Inventory Management Report

Acronym:

CIMR 3.0

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 Case Inventory Management Report (CIMR) provides a comprehensive review of an examiner's open inventory including how time is applied to each case and related returns. The report allows the group manager to review an examiner's cases for periods of inactivity and insubstantial hours. The goal of the report is to give group managers the tools to find the barriers to lowering cycle time thereby improving taxpayer experience. The report also allows for the comparison of areas, territories, and groups across different purpose groups and workstreams. With Power BI, one report that can be used by Area Directors, Territory Managers, and Group Managers while restricting access to their own area, territory, or group. The single report makes it easier to make updates that can be immediately implemented while maintaining a consistent report to users at different levels.

## 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).

The project uses data pulled using Tableau (Examination Return Control System, ERCS) from the EXMF+EMPL\_S+EXPN+TAPP+RLRT+BBA\_DATA data source. The data is downloaded as a .csv file and imported into Power BI desktop. The data is downloaded the Monday after the end of the exam cycle replacing the prior cycle's data. After downloading from Tableau (ERCS), the data source files are then copied to a folder on SharePoint Online (SPO) which is owned and managed by this office. This folder is designated as TM-SBSE-PPA-FESWPA-Field Exam/Documents/Field Exam/Shared Data Files/CIMR data SG. The Power BI file looks to this folder to obtain the data used to create the dashboards and visuals seen by the end users. The project will then be published online in the Power BI service (Workload Planning and Analysis (WPA) workspace) to be shared. Row level security will be used restrict access so the end users will only see data for their own group, territory, or area.

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

Address

Email Address

Employer Identification Number

Federal Tax Information (FTI)

Individual Taxpayer Identification Number (ITIN)

Name

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

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

SSN for tax returns and return information - IRC section 6109

## Product Information (Questions)

1 Do you use Power Automate?

No

2 Do you use Visualization Tools (Power BI or Tableau) for reporting from multiple sources?

Yes

2.1 Have you documented this in the Data Locations section?

Yes

2.2 Are you using dashboards for reporting?

Yes

2.3 Are the permissions for the dashboard the same as the collection the data is pulled from?

Yes

2.4 Is the dashboard data able to be manipulated?

No

3 Is the data being accessed coming from OneDrive?

No

4 Do you have a data dictionary?

Yes

## Interfaces

### Interface Type

IRS Systems, file, or database

### Agency Name

ERCS, EXMF+EMPL\_S+EXPN+TAPP+RLRT+BBA\_DATA  
data sources in Tableau (ERCS)

### Incoming/Outgoing

Incoming (Receiving)

### Transfer Method

Other

### Other Transfer Method

The data is downloaded to a mobile workstation (laptop) as a .csv file and then copied to a SharePoint Online FTI secured folder.

### Interface Type

IRS Systems, file, or database

### Agency Name

Power BI service (WPA workspace)

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Other

Other Transfer Method

The report is published online in the Power BI Service in the WPA workspace

## Systems of Records Notices (SORNs)

### **SORN Number & Name**

IRS 42.008 - Audit Information Management System

Describe the IRS use and relevance of this SORN.

Although the system is different, the Examination Return Control System (ERCS) also provides information about returns in inventory. The categories of individuals covered by the system and the categories of records in the system are very similar. The data from ERCS is the source of the information used in CIMR to create inventory reports.

## Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

IRS RCS 23 Tax Administration-Examination

What is the GRS/RCS Item Number?

85(C)2

What type of Records is this for?

Electronic

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

CIMR is based on data pulled from the Examination Returns Control System (ERCS). ERCS is an inventory management system used by Small Business/Self Employed (SB/SE) and Large Business & International (LB&I) Operating Divisions for controlling and monitoring tax returns and technical time charges for returns under examination. ERCS has the capability to generate several types of (inventory) management and statistical reports that remain internal to the IRS. ERCS also provides real-time information in the form of screens and reports for management of SB/SE, LB&I, and Return Preparer Office (RPO). This includes Examination groups, Planning and Special Programs (PSP),

Centralized Case Processing (CCP), Technical Services (TS), SB/SE Examination and LB&I Quality Measurement Staff, and National Quality Specialty Review. The authorized disposition for these reports (excluding the Examination Technical Time Report (ETTR)) is when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later. CIMR can be considered a report output from ERCS and therefore would have the same disposition schedule.

What is the disposition schedule?

AUTHORIZED DISPOSITION Delete/Destroy when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

## Data Locations

What type of site is this?

Workspace (Power BI)

What is the name of the Workspace (Power BI)?

WPA

What is the sensitivity of the Workspace (Power BI)?

Federal Tax Information (FTI)

Please provide a brief description of the Workspace (Power BI).

The WPA workspace is where SB Field Exam Workload, Planning, and Analysis group publishes its exam dashboards with closed case results as well as open inventory reports.

What are the incoming connections to this Workspace (Power BI)?

The Workspace is where the Power BI reports are shared. There are no outgoing connections other than to the end users of the product. End user access is controlled via Row Level Security which grants access to each end user only the data to which they are entitled based upon their management level (Area Director, Territory Manager, Group Manager, etc.)

What type of site is this?

SharePoint Online (SPO) Collection

What is the name of the SharePoint Online (SPO) Collection?

TM-SBSE-E-PPA-FESWPA-Field Exam

What is the sensitivity of the SharePoint Online (SPO) Collection?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

<https://irsgov.sharepoint.com/sites/TM-SBSE-E-PPA-FESWPA-FieldExam/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2FTM%2DSBSE%2DE%2DPPA%2DFESWPA%2DFieldExam%2FShared%20Documents%2FField%20Exam%2FShared%20>

Data%20Files%2FCIMR%20data%20SG&viewid=8021b7a2%2D725c%2D4874%2D882c%2D932600ae5e5e&FolderCTID=0x012000F0C1929D89C2324F99DAD56198BEDA5B&OR=Teams%2DHL&CT=1722365419074&clickparams=eyJBeHBOYW11IjoiVGVhbXMtRGVza3RvcCIslkFwcFZlcnNpb24iOiI0OS8yNDA2MjcyNDgxNCIsIkhhc0ZlZGVyYXRIZFVzZXIiOmZhbHNlfQ%3D%3D

Please provide a brief description of the SharePoint Online (SPO) Collection.

The SharePoint Online collection of FESWPA is used to store data files and products produced by SB/SE Field Exam Workload Planning and Analysis. The data sources for this project will be stored in the subfolder Documents/Field Exam/Shared Data Files/CIMR Data SG

What are the incoming connections to this SharePoint Online (SPO) Collection?

Data source files for the Power BI project will be stored as comma-separated value files after being downloaded from Tableau (ERCS). The Power BI project will access these data sources both from the desktop version and the Power BI Service (published) version via the update data function within Power BI.

What are the outgoing connections from this SharePoint Online (SPO) Collection?

The Power BI file will access the data sources stored in the SPO folder to update the data used within the tool. This will be done either via the Semantic Model refresh option within the PBI Workspace or locally with PBI Desktop before publishing to the PBI workspace. No live/active connections will be established to the data sources.