

Date of Approval: 04/09/2026
Questionnaire Number: 2914

Basic Information/Executive Summary

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

LBI Reporting Workbooks and Dashboards

Acronym:

LBIRWD

Business Unit

Large Business and International

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.

Large Business & International (LB&I), Assistant Deputy Commissioner Compliance Integration (ADCCI) created Reporting Workbooks to enhance the modernization effort to centralize, standardize, and enhance access to compliance and operational data across the organization. Built on Microsoft Excel and the Office 365 ecosystem (Teams and SharePoint Online), the workbooks consolidate data from numerous Internal Revenue Service (IRS) systems into a single, integrated platform.

The Reporting Workbooks eliminates the need for analysts and stakeholders to manually assemble information from disparate databases, improving efficiency, consistency, and data reliability. Originally designed as a monitoring and reporting tool, the workbooks enable IRS analysts to conduct detailed analysis of non-examined, open, and closed tax returns, as well as Summary Exam Time

Transmittal System (SETTS) data to evaluate examination timelines. Over time, the capability has expanded into a suite of reporting workbooks tailored to specific program and stakeholder needs. These workbooks are securely managed within Teams private channels, where access is controlled by channel owners. Analysts, Management and Executives within ADCCI can use the workbooks for specific needs for metrics and information related to LB&I examination results. Each workbook is structured to support both standardized reporting and user-driven analysis. Data tables are created with Front matter defining program context, metrics, and dimensions, while embedded templates (tables and charts) allow users to customize outputs using filters and PowerPivot functionality. The underlying data is sourced from multiple authoritative IRS systems - 1) Examination Returns Control System (ERCS); 2) Compliance Data Warehouse (CDW); 3) Audit Information Management System (AIMS); 4) AIMS Centralized Information System (A-CIS); 5) Human Resources Reporting Center (HRRC); 6) Discovery Directory (DISCDIR)/Corporate Authoritative Directory Service (CADS); 7) Issue Based Management Information System (IBMIS); 8) Issue Management System (IMS); 9) Integrated Data Retrieval System (IDRS); 10) Correspondence Examination Automation Support (CEAS); and 11) Global High Wealth Database (GHWD) and integrated through a centralized DataMart. The Reporting Workbooks are connected to DataMart, which is where all the data sources are brought together and configured. The Reporting Workbooks approach provides a starting point data set populated by data sources that are extracted from the System of Record (SOR) on a scheduled basis by an assigned Systems Architect/Administrator.

Reporting Workbooks allow for single source of multiple data from systems for LB&I compliance tracking and status reporting. The platform also positions the organization to leverage advanced visualization tools such as Power BI and Tableau, as well as Power Automate, enabling automation, enhanced analytics, and more informed decision-making. By reducing redundant processes, improving access to current data, and enabling scalable, repeatable reporting, the ADCCI/Reporting Workbooks initiative strengthens the IRS's ability to plan, monitor, and execute compliance activities with greater accuracy and effectiveness. It also enhances data analytics that will improve accuracy of planning and monitoring, case selection, tax compliance and organizational decision making.

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).

Taxpayer Identification Number (TIN)/Social Security Number (SSN) are used to match data to specific taxpayer accounts which is necessary to make selection for audit and to identify, track and correct non-compliance. Office of Management and Budget CIRC #A-130 requires that federal agencies develop a mitigation or elimination strategy for systems that use SSNs, which the Service continues to develop strategies to meet. An exception to that requirement is when the SSN is uniquely needed to identify a user's record. Data Capture System (DCS) requires the use of SSN's because no other identifier can be used to uniquely identify a taxpayer at this time. SSNs are permissible from Internal Revenue Code (IRC) 6109, "Identifying Numbers", which requires individual taxpayers to include their SSNs on their income tax returns. Use of SSNs by the system is needed to uniquely identify a taxpayer's record because no other identifier can be used to uniquely identify a taxpayer. Reporting Workbook users are only given access to the information they need to perform their duties. SBU/PII collected is limited to what is relevant and necessary for tax administration and conducting a proper tax compliance examination. The data is validated in the workbooks against the system it derives its data from using consistency check and record counts. The data is deemed reliable and the data is validated for accuracy against the system sending the data as described in that system PCLIA.

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

Name

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

Telephone Numbers

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 Is this PCLIA a result of a specific initiative or a process improvement?

No

2 Is this a new M365 project?

No

2.1 Is there a previous Privacy and Civil Liberties Impact Assessment (PCLIA) for this project?

Yes

2.11 What is the PCLIA number of the last approved PCLIA for this project?

7627

2.12 What was the name on the last approved PCLIA for this project?

LBI Reporting Workbooks, LBIRW

2.2 You have indicated that this is not a new project; explain what has or will change and why. (Expiring PCLIA, changes to PII or use of the PII, etc.)

Expiring PCLIA

3 Describe your business process and purpose for use of M365; identify what system(s) or business process(es) the M365 supports.

The purpose of the LBI Reporting Workbooks is to leverage Microsoft Excel and Office365/Teams/SharePoint Online Custom Off the Shelf (COTS) platform to provide stakeholders access to data in one source versus data having to be pieced together from various systems and databases. The Reporting Workbooks concept was developed as a monitoring and reporting tool used by IRS analysts to perform detailed analysis to monitor and report on non-examined, open and closed tax returns, as well as Summary Exam Time Transmittal System (SETTS) data to determine hours and days to examine returns. There are now several Report Workbooks based on data and stakeholder needs which are housed on MS O365 Teams and managed through private channels, which is a key function of Teams that allows a channel Owner to assign individuals access privileges to specific data/reports housed within a channel. Workbooks contain masked PII/FTI data and unmasked PII/FTI, the latter requiring Assistant Deputy Commissioner Compliance Integration (ADCCI) Management level approval to acquire access to private channel to view/access and download taxpayer data/reports. Most of the Reporting Workbooks are not fully utilized presently as customer training and adoption is underway. The goal is to eventually use the Workbooks as the source for all Large Business and International (LB&I) compliance tracking and status reporting. Each Reporting Workbook provides front matter items that include identification of Program Line of Sight, dimensions and measure as well as Template Table and Template Chart workbooks that enable further customization of the data available to a specific Report Workbook. Data available, whether masked or unmasked, is derived from the following systems: 1) Examination Returns Control System (ERCS); 2) Compliance Data Warehouse (CDW); 3) Audit Information Management System (AIMS); 4) AIMS Centralized Information System (A-CIS); 5) Human Resources Reporting Center (HRRC); 6) Discovery Directory (DISCDIR)/Corporate Authoritative Directory Service (CADS); 7) Issue Based Management Information System (IBMIS); 8) Issue Management System (IMS); 9) Integrated Data Retrieval System (IDRS); 10) Correspondence Examination Automation Support (CEAS); and 11) Global High

Wealth Database (GHWD). The Reporting Workbooks are connected to DataMart, which is where all the data sources are brought together and configured. The Reporting Workbooks approach provides a starting point data set populated by data sources that are extracted from the System of Record (SOR) on a scheduled basis by an assigned Systems Architect/Administrator. The Reporting Workbooks and data available in a given workbook are based on program/compliance areas and templates that are driven by filters and PowerPivot tables to enable customizable data sets and reports. The transition to the Reporting Workbooks is a step to modernizing how data is currently being obtained and how reports are produced. Moving to the Reporting Workbooks allows for compatibility with Power Automate and Power BI technology, reduces repetition of duties making better use of limited resources, enables customer access to current data, provides for streamlined and repeatable data access and refresh processes, and enhances data analytics that will improve accuracy of planning and monitoring, case selection, tax compliance and organizational decision making.

4 Do you use Power Automate?

Yes

4.1 Have you documented this in the Data Locations section?

Yes

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

Yes

5.1 Have you documented this in the Data Locations section?

Yes

5.2 Are you using dashboards for reporting?

Yes

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

Yes

5.4 Is the dashboard data able to be manipulated?

No

6 Is the data being accessed coming from OneDrive?

No

7 Do you have a data dictionary?

Yes

8 Is this M365 listed on As-Built-Architecture (ABA)? If the system is not in the ABA, then contact the ABA (<https://ea.web.irs.gov/aba/index.html>) for assistance.

Yes

8.1 What is the ABA ID?

211877

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

ACIS - AIMS Centralized Information System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

Datamart

Interface Type

IRS Systems, file, or database

Agency Name

AIMS - Automated Information Management System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Interface Type

IRS Systems, file, or database

Agency Name

CDW - Compliance Data Warehouse

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Interface Type

IRS Systems, file, or database

Agency Name

IMS - Issue Management System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Interface Type

IRS Systems, file, or database

Agency Name

IDRS - Integrated Data Retrieval System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Interface Type

IRS Systems, file, or database

Agency Name

CADS - Corporate Account Directory System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Interface Type

IRS Systems, file, or database

Agency Name

GHWD - Global High Wealth Database

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Interface Type

IRS Systems, file, or database

Agency Name

Correspondence Examination Automation Support (CEAS)

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Interface Type

IRS Systems, file, or database

Agency Name

IBMIS - Issue Based Information Management System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Interface Type

IRS Systems, file, or database

Agency Name

HRRC - Human Resources Reporting Center

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Interface Type

IRS Systems, file, or database

Agency Name

Office 365 Multi-Tenant and Supporting Services M365

Incoming/Outgoing

Both

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Interface Type

IRS Systems, file, or database

Agency Name

ERCS - Examination Return Control System

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secure File Transfer Protocol (SFTP)

Other Transfer Method

DataMart

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

Monitoring and reporting tool used by IRS analysts to perform detailed analysis to monitor and report on non-examined, open and closed tax returns, as well as Summary Exam Time Transmittal System (SETTS) data to determine hours and days to examine returns.

SORN Number & Name

IRS 22.026 - Form 1042S Index by Name of Recipient

Describe the IRS use and relevance of this SORN.

Monitoring and reporting tool used by IRS analysts to perform detailed analysis to monitor and report on non-examined, open and closed tax returns, as well as Summary Exam Time Transmittal System (SETTS) data to determine hours and days to examine returns.

SORN Number & Name

IRS 42.008 - Audit Information Management System

Describe the IRS use and relevance of this SORN.

Monitoring and reporting tool used by IRS analysts to perform detailed analysis to monitor and report on non-examined, open and closed tax returns, as well as Summary Exam Time Transmittal System (SETTS) data to determine hours and days to examine returns.

SORN Number & Name

IRS 26.019 - Taxpayer Delinquent Account Files

Describe the IRS use and relevance of this SORN.

Monitoring and reporting tool used by IRS analysts to perform detailed analysis to monitor and report on non-examined, open and closed tax returns, as well as Summary Exam Time Transmittal System (SETTS) data to determine hours and days to examine returns.

SORN Number & Name

IRS 42.027 - Data on Taxpayers' Filing on Foreign Holdings

Describe the IRS use and relevance of this SORN.

Monitoring and reporting tool used by IRS analysts to perform detailed analysis to monitor and report on non-examined, open and closed tax returns, as well as Summary Exam Time Transmittal System (SETTS) data to determine hours and days to examine returns.

SORN Number & Name

IRS 42.001 - Examination Administrative Files

Describe the IRS use and relevance of this SORN.

Monitoring and reporting tool used by IRS analysts to perform detailed analysis to monitor and report on non-examined, open and closed tax returns, as well as Summary Exam Time Transmittal System (SETTS) data to determine hours and days to examine returns.

SORN Number & Name

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

Monitoring and reporting tool used by IRS analysts to perform detailed analysis to monitor and report on non-examined, open and closed tax returns, as well as Summary Exam Time Transmittal System (SETTS) data to determine hours and days to examine returns.

SORN Number & Name

IRS 42.021 - Compliance Programs and Projects Files

Describe the IRS use and relevance of this SORN.

Monitoring and reporting tool used by IRS analysts to perform detailed analysis to monitor and report on non-examined, open and closed tax returns, as well as Summary Exam Time Transmittal System (SETTS) data to determine hours and days to examine returns.

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

monitoring and reporting tool used by IRS analysts to perform detailed analysis to monitor and report on non-examined, open and closed tax returns, as well as Summary Exam Time Transmittal System (SETTS) data to determine hours and days to examine returns.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

General Technology Management Records

What is the GRS/RCS Item Number?

GRS 5.2 Item 20

What type of Records is this for?

Electronic

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

Intermediary records. They exist for the sole purpose of creating a subsequent record, and they are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

What is the disposition schedule?

Destroy upon creation or update of the final record, or when no longer needed for business use, whichever is later.

Data Locations

What type of site is this?

Teams Collection

What is the name of the Teams Collection?

TM-LBI-ADCCI-CPA:LB&I Portfolio Executive

What is the sensitivity of the Teams Collection?

Sensitive But Unclassified (SBU)

Please provide a brief description of the Teams Collection.

Team Site managed through private channels which is a key function of Teams that allows a channel Owner to assign individuals access privileges to specific data/reports/dashboards housed within a channel. Access to private channels requiring

Assistant Deputy Commissioner Compliance Integration (ADCCI)
CP&A Director and Management.

What are the incoming connections to this Teams Collection?

The SQL environment (DataMart) facilitates incoming and outgoing data connections with Microsoft Teams, enabling secure and controlled data exchange between Teams and integrated systems. Datamart tables and views serve as structured data sources for downstream reporting tools such as Microsoft Excel and Power BI. These objects are incorporated into the reporting data model to support analytics, visualization, and collaboration across platforms.

What type of site is this?

Workspace (Power BI)

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

RPTTM

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

Sensitive But Unclassified (SBU)

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

Workspace managed through specific access based on role for access privileges to Power BI dashboards. Dashboards contain masked PII/FTI data requiring approval from ADCCI, CP&A Director and Management level approval to acquire access to private channel to view/access Power BI Dashboards on TEAMS channels.

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

Datamart

What type of site is this?

Teams Collection

What is the name of the Teams Collection?

ADCCI Workbooks

What is the sensitivity of the Teams Collection?

Personally Identifiable Information (PII) including Linkable Data

Please provide a brief description of the Teams Collection.

Team Site managed through private channels which is a key function of Teams that allows a channel Owner to assign individuals access privileges to specific data/reports housed within a channel. Workbooks contain masked PII/FTI data and unmasked PII/FTI, the latter requiring Assistant Deputy Commissioner Compliance Integration (ADCCI) Management level approval to acquire access to private channel to view/access and download taxpayer data/reports.

What are the incoming connections to this Teams Collection?

The Structured Query Language (SQL) environment in DataMart facilitates incoming and outgoing data connections with Microsoft

Teams, enabling secure and controlled data exchange between Teams and integrated systems. Datamart tables and views serve as structured data sources for downstream reporting tools such as Microsoft Excel and Power BI. These objects are incorporated into the reporting data model to support analytics, visualization, and collaboration across platforms.

What type of site is this?

Teams Collection

What is the name of the Teams Collection?

TM-CP&A-Operational Analytics

What is the sensitivity of the Teams Collection?

Sensitive But Unclassified (SBU)

Please provide a brief description of the Teams Collection.

Team Site managed through private channels which is a key function of Teams that allows a channel Owner to assign individuals access privileges to specific data/reports/dashboards housed within a channel. Access to private channels requiring Assistant Deputy Commissioner Compliance Integration (ADCCI) CP&A Director and Management.

What are the incoming connections to this Teams Collection?

Datamart

What type of site is this?

Tableau

What is the name of the Tableau?

LBI ADCCI CP&A

What is the sensitivity of the Tableau?

Sensitive But Unclassified (SBU)

Please provide a brief description of the Tableau.

Tableau IRS server and cloud management. Managed through Business Entitlement Access Request System (BEARS) entitlement request permissions with users getting access based on their user role. Role is determined by Director/Management approval with the following: Viewer, Explorer, Creator, Site administrator and Server Administrator. Approvals through BEARS require ADCCI Management approval to acquire access to dashboards and ability to view/access visualizations.

What are the incoming connections to this Tableau?

DataMart - through Structured Query Language (SQL) server connection. The SQL environment in DataMart facilitates incoming connections with Tableau Desktop, enabling secure and controlled data exchange between Tableau and integrated systems. Datamart tables and views serve as structured data sources for downstream reporting tools such as Tableau dashboards.