

Date of Approval: 03/20/2026  
Questionnaire Number: 2897

## Basic Information/Executive Summary

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

Small Business Self Employed (SBSE) South Atlantic Area 203 Planning and Specialty Programs (PSP) Reports Power Business Intelligence (BI) Workspace

Business Unit

Small Business/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 Small Business Self Employed (SBSE) Central Area 203 Planning and Specialty Programs (PSP) Reports Workspace will be a workspace within Microsoft Power Business Intelligence (BI) that will allow SBSE South Atlantic Area PSP to prepare and share reports with various levels of managers at the Area, Territory, and Group levels. Microsoft Power BI workspaces are cloud-based spaces available through Microsoft Power BI that can be used to publish, manage, and share reports in an online environment. Reports will be prepared in desktop Power BI that will then be published to the Power BI Workspace. The workspace will allow managers to access SBSE South Atlantic area examiner inventory, examiner time, and employee reports. With Power BI, reports will be more efficiently prepared and shared with the SBSE South Atlantic Area Director, Territory Managers, and Group Managers. Reports were previously delivered to SharePoint sites using Microsoft Excel files. Using Power BI makes it more efficient to make updates or changes to reports that can be immediately updated

by the preparer while maintaining a consistent report to users at different levels. The levels of data available will be controlled using row level security. For example, a Group Manager will only have access to the group they are assigned to. The goal of the workspace is to allow SBSE South Atlantic Area to expand automation, enhance data integration, and improve system compatibility to better support taxpayer service and internal operations. The use of Power BI will also allow SBSE South Atlantic Area to standardize data across the Area, strengthen analytics and reporting, and accelerate the delivery of digital reporting. Power BI will improve case management reporting tools to help ensure efficiency and support timely exam resolutions.

## 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).

This workspace will include reports that share data from Examination Return Controls System (ERCS), Audit Information Management System (AIMS), Report Generating Software (RGS), and Compliance Data Environment (CDE). There will be multiple reports on the workspace that will provide taxpayer and employee data for examinations currently assigned in Small Business Self Employed (SBSE) Central Area 203. Examination Return Controls System and Audit Information Management System data will be retrieved using Tableau, additional Audit Information Management System data will be retrieved using Audit Information Management System Centralized Information System (A-CIS), Report Generating Software data will be secured directly from the Report Generating Software program, and Compliance Data Environment data will be retrieved using Tableau. Data is downloaded from the original sources listed before and then added to desktop Microsoft Power BI through Excel or text files. Reports are then built and managed by Planning and Specialty Programs (PSP) analysts in Power Business Intelligence (BI) desktop before they will be published to the Power BI Service, within the SBSE Central Area 202 PSP reports workspace. All source data will be maintained on PSP analyst's computers and final reports will be published to the Power BI service. Row level security will be used to restrict access as to who has access to the workspace as well as individual reports so that the user 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.

Email Address

Employer Identification Number  
Federal Tax Information (FTI)  
Geographical Indicators  
Individual Taxpayer Identification Number (ITIN)  
Name  
Preparer Taxpayer Identification Number (PTIN)  
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

PII for personnel administration - 5 USC

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?

Yes

1.1 What is the name of the Business Unit (BU) or Agency initiative?

SBSE

2 Is this a new M365 project?

Yes

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

No

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

Examination Return Controls System (ERCS), Audit Information Management System (AIMS), Report Generation Software (RGS), and Compliance Data Environment (CDE) examination data will be secured from Tableau, A-CIS, and RGS programs. Reports will then be built and managed by PSP analysts in Power BI desktop before they will be published to the Power BI Service, within the SBSE South Atlantic Area 203 PSP reports workspace. All source data will be maintained on PSP analyst's computers and final reports will be published to the Power BI service. The goal of the workspace is to allow SBSE South Atlantic Area to expand automation, enhance data integration, and improve system compatibility to better support taxpayer service and internal operations. The use of Power BI will also allow SBSE South Atlantic Area to standardize data across

the Area, strengthen analytics and reporting, and accelerate the delivery of digital reporting.

4 Do you use Power Automate?

No

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?

No

5.31 Who has permissions to access the data?

SBSE South Atlantic Area managers of all levels from the Area Director, Territory Managers, and Group Managers will have access to data. Workspace security within Power BI will be used to limit who has access to view the workspace and Row Level Security within each report will be used to further limit access so that each manager only has access on a need-to-know basis to their own data. Access will be granted based on management change notifications submitted by the Area Director's office or Territory Managers to South Atlantic Area PSP via email. Business Entitlement Access Request System will not be required.

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?

No

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

Exam Return Control System (ERCS)

## Incoming/Outgoing

Both

## Transfer Method

Other

## Other Transfer Method

The data is downloaded onto an Internal Revenue Service (IRS) workstation as an Excel or text file from Tableau. Data is loaded into Power BI Desktop to publish to the South Atlantic Area 203 Power BI workspace.

## Interface Type

IRS Systems, file, or database

## Agency Name

Audit Information Management System (AIMS)

## Incoming/Outgoing

Both

## Transfer Method

Other

## Other Transfer Method

The data is downloaded onto an Internal Revenue Service (IRS) workstation as an Excel or text file from Tableau. Additional data is also downloaded from the A-CIS program as an Excel or text file. Data is then loaded into Power BI Desktop to publish to the South Atlantic Area 203 Power BI workspace.

## Interface Type

IRS Systems, file, or database

## Agency Name

Report Generation Software (RGS)

## Incoming/Outgoing

Both

## Transfer Method

Other

## Other Transfer Method

The South Atlantic Area RGS Coordinator downloads the data from RGS via a .txt file and then uploads it to the South Atlantic Area 203 PSP Share Point. Analyst will then download the data to

an IRS workstation. The final data/report upload will be completed in Power BI Desktop to publish reports in the SBSE South Atlantic Area PSP Reports Power BI workspace.

**Interface Type**

IRS Systems, file, or database

**Agency Name**

Microsoft Power BI

**Incoming/Outgoing**

Outgoing (Sending)

**Transfer Method**

Other

**Other Transfer Method**

Data is loaded into Microsoft Power BI desktop through Excel or Text files on an IRS workstation and then published to the Power BI service workspace.

**Interface Type**

IRS Systems, file, or database

**Agency Name**

Compliance Data Environment (CDE)

**Incoming/Outgoing**

Incoming (Receiving)

**Transfer Method**

Other

**Other Transfer Method**

The data is downloaded onto an Internal Revenue Service (IRS) workstation as an Excel or text file from Tableau. Data is loaded into Power BI Desktop to publish to the Central Area 202 Power BI workspace.

## **Systems of Records Notices (SORNs)**

**SORN Number & Name**

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

General Personnel Records provide information about examiners with assigned inventory in Central Area. The data from General Personnel Records is one source of information that will be used to prepare reports published to the Power BI workspace.

**SORN Number & Name**

IRS 42.008 - Audit Information Management System

Describe the IRS use and relevance of this SORN.

Audit Information Management System (AIMS) and Examination Return Control System (ERCS) provides information about examinations in South Atlantic Area inventory. The data from AIMS and ERCS is one source of information used to prepare reports published to the Power BI workspace.

### **SORN Number & Name**

IRS 42.001 - Examination Administrative Files

Describe the IRS use and relevance of this SORN.

The Examination Administrative File provides information about examinations in inventory including coding, time charges, and exam statuses. Data from the Examination Administrative File is one source of information that will be used to prepare reports published to the Power BI workspace.

## **Records Retention**

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Tax Administration - Examination

What is the GRS/RCS Item Number?

23 Item 83(C)

What type of Records is this for?

Electronic

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

Report Generation Software (RGS)/Correspondence Examination Automation Support (CEAS). The RGS Data Store contains inventory, computations, workpapers and correspondence for tax examiners as well as Returns Transaction File (RTF) return data, assessment and closed case data. (C) Outputs: Include numerous reports that can be printed to assist tax examiners and managers to monitor individual tax examiner inventories, weekly receipts, case updates, unit inventories, section inventories, and branch inventories. (GRS 5.2, Item 020)

What is the disposition schedule?

DESTROY/DELETE when superseded, obsolete or no longer needed, whichever is later.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Tax Administration - Examination

What is the GRS/RCS Item Number?

23 Item 85(B) 1

What type of Records is this for?

Electronic

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

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. (B) System Data: (Job No. N1-58-11-26). 1) ERCS Examination Records. ERCS provides detailed management information on returns under examination. Taxpayer data includes taxpayer identification numbers (TIN), employer identification number (EIN), taxpayer/employer name and address, and related return information such as amounts claimed by taxpayer filing an amended return or claim, secondary social security number (SSN), activity, source and status codes, and name control. Other information contained in the database is locally defined to allow users to classify, type, and track returns and local projects. Information, such as the employee's AIMS Assignee Code (AAC), POD, position code, position code date, grade, employee's date of activation on the ERCS application, and the employee's tour of duty are stored on each employee accessing ERCS and is used to control user access to the ERCS main menu and data in the database. To record time charges, a Unique Employee Identification Number is stored in ERCS. The Unique Employee Identification Number is a sequence number generated by the ERCS application. This number is in a format required by the Summary Examination Time Transmittal System (SETTS), a subsystem of ERCS. At the end of each time cycle (typically every four weeks), the SETTS information for the cycle is electronically transmitted to another server for roll-up in national reports and tables.

What is the disposition schedule?

Returns are stored on the system for a minimum of 400 days after closure at which time they are archived. Archived data is maintained for 7 years, then deleted/destroyed. Selected (returns) history data is kept on the system for 5 years after returns are closed (Status 90 closure). The history data also serves as an index for archived data. After 7 years the historical data is deleted.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Tax Administration - Examination

What is the GRS/RCS Item Number?

23 Item 83(A)

What type of Records is this for?

Electronic

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

Report Generation Software (RGS)/Correspondence Examination Automation Support (CEAS). The RGS Data Store contains inventory, computations, workpapers and correspondence for tax examiners as well as Returns Transaction File (RTF) return data, assessment and closed case data. (A) Inputs: Information can be manually entered into RGS by a user or downloaded from a server. The information is in the form of the tax return as originally filed. The data is entered/displayed in Return Setup. (GRS 5.2, Item 020 or GRS 4.5, Item 010 as applicable)

What is the disposition schedule?

DELETE/DESTROY all cached records after successful entry and verification (Uploaded documents are held for a minimum of seven (7) business days after scanning in case any retrieval of documents for reimaging is warranted).

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Tax Administration - Examination

What is the GRS/RCS Item Number?

23 Item 6

What type of Records is this for?

Electronic

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

Monthly, Quarterly, Annual, and Other Periodic Management Information Reports. Includes computer generated reports produced from the Master File and other Management Information Systems of the Service to measure field accomplishments in returns and staff time, additional taxes and penalties proposed and effected and related material. Record copy microfiche form listings and reports produced at the Detroit Computing Center. (Job No. N1-58-88-2, Item 6)

What is the disposition schedule?

DESTROY when 5 years old.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Tax Administration - Examination

What is the GRS/RCS Item Number?

23 Item 85(C) 1

What type of Records is this for?

Electronic

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

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. (C) Outputs: (GRS 5.2, Item 020). 1) System downloads. ERCS interfaces and shares return data with other systems such as the Appeals Centralized Database System (ACDS) and the Audit Information Management System (AIMS). Return information with international features is shared with LB&I's Issue Management System (IMS). Return information from the excise area is shared for use by the Excise Files Information Retrieval System (ExFIRS). Requisitions, updates, transfers, and short closures made on ERCS are sent to AIMS daily.

What is the disposition schedule?

Records of updates sent to AIMS are retained on the system for 1 year. All other downloads can be deleted after successful transfer and verification.

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Tax Administration - Examination

What is the GRS/RCS Item Number?

23 Item 85(B) 1a

What type of Records is this for?

Electronic

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

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. (B) System Data: (Job No. N1-58-11-26). 1a) Summary Examination Time Transmission System (SETTS). SETTS is a subsystem of ERCS, and is a time keeping system for examination. It extracts time on case data from ERCS for validation and transmittal to ECC-MCC for roll-up in national reports and tables.

What is the disposition schedule?

DELETE 400 days after the time charge or when the associated return is archived, whichever is later.

# Data Locations

What type of site is this?

Workspace (Power BI)

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

South Atlantic PSP

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

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

<https://app.powerbigov.us/groups/ad3bf48-acc7-4430-abc2-430cf4dd90d0/list?tenant=f2372b85-8802-490c-b196-7b96c73fee3b>

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

Small Business Self Employed (SBSE) South Atlantic Area 203 PSP Reports workspace is where South Atlantic Area Planning and Specialty Programs (PSP) will publish Field Exam reports and dashboards for review by managers at various levels with the Power BI platform.

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

There are no incoming connections. The data for reports is pulled from Tableau, A-CIS, and RGS. Reports will be updated within Power BI desktop on an IRS workstation and then published to the Power BI workspace. The Power BI workspace does not connect to any information source directly.

What are the outgoing connections from this Workspace (Power BI)?

There are no outgoing connections. Managers will view reports in the Power BI environment.

What type of site is this?

SharePoint Online (SPO) Collection

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

South Atlantic PSP

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/SbEfSa\\_Psp/](https://irsgov.sharepoint.com/sites/SbEfSa_Psp/)

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

South Atlantic PSP maintains an SPO which current reports are saved by copying from the analyst's computer. Raw data files will be saved which Power BI can use to develop reports.

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

There are no incoming connections. Documents will be manually added to SPO from Tableau, A-CIS, or Report Generation Software.

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

None

What type of site is this?

OneDrive

What is the name of the OneDrive?

OneDrive - Internal Revenue Service

What is the sensitivity of the OneDrive?

Federal Tax Information (FTI)

Please provide a brief description of the OneDrive.

Each South Atlantic Area Planning and Specialty Programs (PSP) analyst preparing reports may save documents to their personal OneDrive accounts so it may be shared with other analysts in the Area.

What are the incoming connections to this OneDrive?

There are no incoming connections. Documents will be manually added to OneDrive from Tableau, A-CIS, or Report Generation Software.

What type of site is this?

Tableau

What is the name of the Tableau?

Examination Returns Control System (ERCS)

What is the sensitivity of the Tableau?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

<https://tableauprod.web.irs.gov/#/site/ercs2>

Please provide a brief description of the Tableau.

Tableau - Examination Returns Control System (ERCS) connects to ERCS and Audit Information Management System (AIMS) data to secure information for all open examinations in SBSE Central Area.

What are the incoming connections to this Tableau?

The Tableau report connects to various data sources within ERCS and AIMS such as EXMF, EMPL\_S, EXPN, TAPP, CLIF, RLRT, BBA\_DATA, AIMS\_LMTD, and AMS\_7109. Tableau provides detailed information for all open examinations in SBSE Central Area. The report provides data such as taxpayer name, identification number, examiner name, MFT, tax year, source

code, project code, tracking code, workstream, and hours charged to exams.

What are the outgoing connections from this Tableau?

None

What type of site is this?

System

What is the name of the System?

A-CIS

What is the sensitivity of the System?

Federal Tax Information (FTI)

Please provide a brief description of the System.

Audit Information Management System Centralized Information System (A-CIS) is an Internal Revenue Service program that provides official Audit Information Management System (AIMS) data. The program is a database that provides all AIMS examination data for open examinations, closed examinations, and examiner time charges.

What are the incoming connections to this System?

The database connects to various data sources within AIMS such as Open Cases, Closed Cases, Combined Non-Examined, Combined Survey Claim, and Summary Examination Time Transmission System (SETTS). A-CIS provides detailed information for all open and closed examinations in SBSE Central Area. The database provides data such as taxpayer name, identification number, examiner name, Master File Tax Code (MFT), tax year, source code, project code, tracking code, workstream, hours charged to exams, cycle times, cycle rates, and closure data.

What are the outgoing connections from this System?

None

What type of site is this?

Tableau

What is the name of the Tableau?

Compliance Data Environment (CDE)

What is the sensitivity of the Tableau?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

<https://tableauprod.web.irs.gov/#/site/cde/home>

Please provide a brief description of the Tableau.

Tableau - Compliance Data Environment (CDE) connects to examination case data to secure information for examinations created or delivered within CDE in SBSE South Atlantic Area. The

source can provide the examination delivery method, delivery date, classified examination issues, and other case specific details.

What are the incoming connections to this Tableau?

The Tableau report connects to various data sources within CDE such as CDE\_CASE\_FOR\_AREA, CDE\_CASE\_CLASS\_ISSUES, and CDE\_CASE\_CLASS\_ISSUES\_FOR\_AREA. Tableau provides case specific information such as the examination delivery method, delivery date, and classified examination issues for examinations prepared or delivered by CDE.

What are the outgoing connections from this Tableau?

None