

Date of Approval: 05/16/2025
Questionnaire Number: 2259

Basic Information/Executive Summary

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

RGS Back-Up Dashboard

Acronym:

RBUD

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 Report Generating Software (RGS) Back-up Dashboard (RBUD) will show the potential risk of data loss by comparing the last time an RGS backup was completed with the date of the last time that was charged on the case by an examiner. The report will allow managers at various levels to get a quick snapshot of the examiners at various levels who are not consistently backing up their case work. With Power BI, the Small Business Self Employed Central Area Director, Territory Managers, and Group Managers will have access to this back-up data more efficiently. This same information was previously shared in an Excel document posted to SharePoint sites. Using Power BI makes it easier to make updates or changes to the dashboard that can be immediately implemented by the preparer while maintaining a consistent report to users at different levels. The level 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 report is to give managers at various levels a tool to identify case work that is not being backed up timely in RGS. By comparing the last back-up date in RGS to the last time charged to the case by an examiner, cases may be quickly identified where case work has been completed and not preserved with a back-up to the RGS fileserver. This dashboard will help ensure there is no risk of data loss thereby improving the taxpayer experience during an examination.

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 from the EXMF+EMPL_S+EXP+TAPP+RLRT+BBA_DATA data source that pulls data from the Examination Return Controls System (ERCS) providing taxpayer and employee data for examinations currently assigned in Small Business Self Employed Central Area 202. In addition, the project uses data from the Summary Extract data source provided by the Report Generation Software (RGS) coordinator that is pulled from the RGS program. The two data sources are blended to compare the last RGS back-up date to the last time an examiner charged hours completing work on the case in ERCS. 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 prior exam cycle and in the middle of the current cycle, providing updates twice every four- or five-week cycle. The prior data will be overwritten and replaced with each new data pull. The project will then be published online in the Power BI service (Planning and Special Programs (PSP) Workspace - Area 202) to be shared with managers at various levels. Row level security will be used to restrict access so 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)

Individual Taxpayer Identification Number (ITIN)

Name

Other

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)
Tax ID Number

Please explain the other type(s) of PII that this project uses.

Examiner Name

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 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

2.31 Who has permissions to access the data?

SBSE Field Area Director, Territory Managers, and Group Managers will have access to the data. The level 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.

2.4 Is the dashboard data able to be manipulated?

No

3 Is the data being accessed coming from OneDrive?

Yes

4 Do you have a data dictionary?

Yes

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Microsoft Power BI

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Other

Other Transfer Method

Data is uploaded from Excel files into Power BI using data tools within Power BI. Report is published from Power BI Desktop to allow access by Central Area managers in a cloud environment.

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 a .csv file using the Tableau ERCS data source EXMF+EMPL_S+EXPAN+TAPP+RLRT+BBA_DATA. The data upload will be completed in Power BI Desktop to publish the RGS Back-Up Dashboard in the Central Area 202 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 RGS Coordinator downloads the data from RGS via a .txt file, and then uploads it to the Central Area 202 PSP Share Point Policy Analyst folder. Policy Analyst will then download the data to an IRS workstation. The final data/report upload will be completed in

Power BI Desktop to publish the RGS Back-Up Dashboard in the Central Area 202 Power Bi 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.

Examination Return Control System (ERCS) provides information about examinations in inventory. The data from ERCS is one source of information used in the RBUD to create back-up analysis.

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 the last date a return based backed up in RGS. The data from the Examination Administrative File is one source of the information used in the RBUD to create back-up analysis.

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 the information used in the RBUD to create back-up analysis.

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

What type of Records is this for?

Electronic

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

RBUD is based on data pulled from the Examination Returns Control System (ERCS) and compared to RGS data. 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 is when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later. RBUD 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?

Tableau

What is the name of the Tableau?

RGS CAB Data

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/views/RGSBackUpCABData/CABData>

Please provide a brief description of the Tableau.

The Tableau report connects to ERCS data to pull information for all open examinations in SBSE Central Area.

What are the incoming connections to this Tableau?

ERCS EXMF+EMPL_S+EXPN+TAPP+RLRT+BBA_DATA.

The Tableau report connects to various reports within ERCS to provide 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, hours charged to exam, and last date time was charged to the exam.

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 PSP analyst running the report will save documents to their personal OneDrive account 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.

What type of site is this?

Workspace (Power BI)

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

Central Area 202

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

Federal Tax Information (FTI)

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

Central Area 202 workspace is where Central Area 202 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 the report is pulled from Tableau and RGS and updated within Power BI desktop on an IRS workstation. The report is then published to the Power BI workspace. The Power BI report 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?

Central Area: Territory 9

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/SbEfCen_Ter9/MonthlyRpts/Forms/AllItems.aspx

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

The Share Point site is used to share reports and data internally by SBSE Central Area PSP.

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

There are no incoming connections. All documents are manually uploaded to the Share Point site.