PIA Approval Date – Apr. 8, 2009

System Overview
The purpose of AIMS-RR is to provide Headquarter (HQ) Analysts and field personnel with timely and reliable information to monitor the current fiscal year's examination plan as well as specific programs on a monthly basis. AIMS-RR receives data from AIMS Reports Processing (ARP) and time-related data from Examination Return Control System (ERCS) for Revenue Agents, Tax Compliance Officers, Revenue Officers and Tax Examiners.

Systems of Records Notice (SORN):
- IRS 34.037–IRS Audit Trail and Security Records System
- IRS 42.008–Audit Information Management System

Data in the System

1. Describe the information (data elements and fields) available in the system in the following categories:
- A. Taxpayer
  - Social Security Number
  - Name
  - Address
  - Tax Payer codes
  - Exam Codes
  - Period of Tax Return
  - Type of Return

- B. Audit Trail Information – Standard Employee Identifier (SEID), used for login, is used for audit trail verification.

2. Describe/identify which data elements are obtained from files, databases, individuals, or any other sources.
- A. IRS – The information uploaded in AIMS-RR is from ERCS and ARP. The information from ERCS pertains to the time data associated with the examination (i.e., how much time was spent on the examination by the examiner). The information in ARP pertains to the case status (i.e., open, closed). AIMS-RR consolidates data from the two systems and produces reports.

- B. Employee – Agent grade, time worked on case. Reports created from AIMS-RR do not have employee data.

3. Is each data item required for the business purpose of the system?   Explain.
Yes. AIMS-RR uses the data to create reports related to examination results. Data is also used to create the Open Case data file, Closed Case data file and Summary Examination Time Transmission System (SETTS) data file (as output). Reports created from AIMS-RR are Closure and Inventory data of returns and the results associated with those returns for use by management. There is no identifiable employee data.

4. How will each data item be verified for accuracy, timeliness, and completeness?
All data is validated against predetermined criteria such as time expended, grade levels, and case coding. If there is a discrepancy, an error record is generated. The error record will not be included in the reports output. Information uploaded from ERCS and ARP is perceived to be timely, accurate and relevant because it has been self-verified and self-checked.

5. Is there another source for the data?   Explain how that source is or is not used.
No. There is no other source for AIMS-RR data.

6. Generally, how will data be retrieved by the user?
Users who need the AIMS Related Reports and Data files are required to file an Online 5081 to gain access to the system. Reports are retrieved by report type or reporting criteria. Data in AIMS-RR listing tables is retrievable by Social Security Number or taxpayer name.

7. Is the data retrievable by a personal identifier such as name, SSN, or other unique identifier?
Data in AIMS-RR listing tables is retrievable by taxpayer name or Social Security Number (SSN). However, the AIMS-RR system alone is not designed to retrieve by unique personal identifier but instead by report type or reporting criteria.

Access to the Data

8. Who will have access to the data in the system (Users, Managers, System Administrators, Developers, Others)?

> **Role:** SBSE examination personnel (system owners)
> **Permission:** Full Access (all permissions)
>
> **Role:** HQ Analysts from IRS organizations such as Small Business/Self Employed (SBSE), Large and Mid Size Business (LMSB), as well as the Examination functions in SBSE and Wage & Investment (W&I) Campuses
> **Permission:** Full Access
>
> **Role:** IRS Application developers from Modernization and Information Technology Services – Application Development (MITS–AD) have access for trouble shooting only.
> **Permission:** Read
>
> **Role:** System administrators from Modernization and Information Technology Services – Enterprise Operations (MITS–EOps)
> **Permission:** Full Access

Note: Contractors do not have access to the application.

9. How is access to the data by a user determined and by whom?
AIMS-RR identifies users by their unique IRS SEID and grants permissions to authenticated users based on the functional group(s) to which this SEID has been assigned. An Online 5081, signed by an immediate manager, is required of IRS users requesting access to AIMS-RR. Once forms are approved they are submitted to the system administrator, who adds the new user's account into the system. The ECC-DET International Business Machine (IBM) Mainframe Resource Access Control Facility (RACF) is used to enforce the most restrictive set of rights/privileges or accesses needed by users (or processes acting on behalf of users) for the performance of specified tasks within AIMS-RR.

10. Do other IRS systems provide, receive, or share data in the system?   If YES, list the system(s) and describe which data is shared.
Yes. ERCS and ARP provide data to AIMS-RR. The information in ERCS pertains to the time data associated with the examination (i.e. how much time was spent on the examination). The information in ARP pertains to the case status (i.e., open, closed). AIMS-RR consolidates data from the two systems and produces reports. AIMS-RR also creates the Open, Closed and SETTS data files which are supplied to A-CIS. For the Closed cases, the Exam/Appeals Extract (XCNY) project is provided data files at the end of the fiscal year, which is used as input to XCNY processing. The Integrated Production Model (IPM) project is also provided data files monthly for Open, Closed, and Non-examined cases.

11. Have the IRS systems described in Item 10 received an approved Security Certification and Privacy Impact Assessment?
Yes.

- ERCS received an Authorization to Operate (ATO) on 6/13/2008 and a Privacy Impact Assessment (PIA) on 3/3/2008. ERCS is currently being re-certified.

- IPM received an Authorization to Operate (ATO) on 11/9/2007 and a Privacy Impact Assessment (PIA) on 9/12/2008.

- A-CIS received an Authorization to Operate (ATO) on 3/21/2007 and a Privacy Impact Assessment (PIA) on 2/6/2007.

- XCNY received an Authorization to Operate (ATO) on 6/21/2007 and a Privacy Impact Assessment (PIA) on 8/8/2007. XCNY is included under the Information Returns Processing (IRP) umbrella.

12.   Will other agencies provide, receive, or share data in any form with this system?
No.   Data used to create AIMS-RR is often used for reporting Service-wide statistical information in the aggregate to various customers. No personally identifiable or taxpayer information is provided to other agencies.

Administrative Controls of Data

13.   What are the procedures for eliminating the data at the end of the retention period?
The retention period is ten years. Data on tape is erased, data maintained on disk is overwritten. The guidelines followed are contained in Records Management Internal Revenue Manual (IRM) 1.15.1 and IRM 1.15.2.

14.   Will this system use technology in a new way?
No. AIMS-RR will not use technology in a new way.

15.   Will this system be used to identify or locate individuals or groups?   If so, describe the business purpose for this capability.
No. AIMS-RR cannot be used to identify or locate individuals or groups.

16. Will this system provide the capability to monitor individuals or groups? If yes, describe the business purpose for this capability and the controls established to prevent unauthorized monitoring.

No. AIMS-RR does not collect, use, or maintain personal information and, therefore, does not offer the capability to monitor individuals or groups.

17. Can use of the system allow IRS to treat taxpayers, employees, or others, differently?

No. AIMS-RR cannot be used to treat taxpayers or employees differently.

18. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action?

No. AIMS-RR has no negative effects on the due process rights of taxpayers or employees.

19. If the system is web-based, does it use persistent cookies or other tracking devices to identify web visitors?

AIMS-RR is not a web-based system.

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