Asset Forfeiture Tracking and Retrieval (AFTRAK) – Privacy Impact Assessment

PIA Approval Date – July 21, 2008

System Overview

The Asset Forfeiture Tracking and Retrieval (AFTRAK) database tracks assets seized by Criminal Investigation (CI) agents during investigations, reports on their status while in government custody, reports on the disposition of assets and distribution of proceeds from asset sales and other disposal methods for forfeited assets. This system supports the Internal Revenue Service (IRS) CI Asset Forfeiture Program which conducts asset seizure and forfeiture activities in conjunction with criminal investigations and manages asset inventories and the distribution of proceeds under the auspices of the Treasury Executive Office of Asset Forfeiture (TEOAF).

Systems of Records Notice

- Treasury/IRS 46.002 Criminal Investigation Management and Information System (CIMIS)
- Treasury/IRS 34.037 IRS Audit Trail and Security Records System

Data in the System

1. Describe the information (data elements and fields) available in the system in the following categories:

A. Taxpayer: None

B. Employee:
- Seizing Agent First and Last name

C. Audit Trail:
- Date/Time Stamp (The Date/Time of when the audit record was created),
- Unique Identifier (The Unique Identifier that initiates the action for the audit record, such as the user name or SID),
- Event Type (The Event Type field is used to track the type of event that is executed such as add, update, or delete),
- Subject of Event/Action Taken (The Subject of Event or Action that was taken for the audit record),
- Origin of Request (The origin of where the request was made, such as the Terminal ID),
- Name of Object (The name of the object that was introduced, accessed, or deleted),
- User Identity (The identity of the user who performed the action),
- User Role (The role of the user at the time the action was performed),
- Success/Failure of Event (The tracking of whether the action was a success or failure).
- Remarks and Comments may contain identifying information such as names and addresses.

D. Other:
- Names and addresses of individuals that have claims on seized assets
- Contact Names of agents from other agencies that have requested a share in the proceeds of an asset that their agency helped IRS seize and forfeit.
- Names and addresses of Storage Location Vendors.
- Asset description may contain identifying information, to include bank account numbers and vehicle identification numbers. This depends on the type of asset seized.

2. Describe/identify which data elements are obtained from files, databases, individuals, or any other sources.

A. IRS: The Criminal Investigation Management Information System (CIMIS) Number is fully integrated with the AFTRAK system. The application pulls in data from the application to reduce redundancy of data.
B. Taxpayer: None
C. Employee: None
D. Other Federal Agencies:
Treasury Executive Office of Asset Forfeiture (TEOAF) provides National Finance Center (NFC) data that is matched with data in AFTRAK. Users view reports showing matched and unmatched data in order to reconcile differences. This information contains no privacy information, and is only an asset number and an amount.

U.S. Customs Seizure Case and Asset Tracking System (SEACATS) data is provided to AFTRAK via Contract Asset Property Managers. The SEACATS data is matched with data in AFTRAK. Users view reports showing matched and unmatched data in order to reconcile differences. This information contains vendor name and address.
E. State and Local Agencies: None
F. Third Party Resources: A Contract Asset Property Manager provides US Customs SEACATS data.

3. Is each data item required for the business purpose of the system?
Yes. Assets must be stored and maintained by the government until asset disposition decisions are made. AFTRAK is the inventory tool for these assets which supports the business purpose of the system.

4. How will each data item be verified for accuracy, timeliness, and completeness?
The Asset Forfeiture Specialist employee category of users is made up of contractors responsible for entry of the data which is then validated by the Asset Forfeiture Coordinator employee category, which are IRS employees. The business rules built into the application ensure that accuracy and completeness of the data entered.

5. Is there another source for the data? Explain how that source is or is not used.
No. There are no other sources of data beyond what has already been mentioned previously in this PIA.

6. Generally, how will data be retrieved by the user?
- AFTRAK application users can use the Investigation Number, Seizure Number and AFTRAK Number to retrieve data. The investigation number is directly related to the CIMIS investigation. The seizure number is only an identifier number for AFTRAK and not privacy related data. The AFTRAK Number is a unique identifier for the specific assets related to a seizure and does not contain privacy related data.
- AFTRAK Report users retrieve data based on the data scope. Data scope is either National (all data), region (data for all field offices in region, or field office (only data within their field office).

7. Is the data retrievable by a personal identifier such as name, SSN, or other unique identifier?
Yes. Data retrieval is possible by name. This retrieval can only be performed by two AFTRAK users, a Warrants and Forfeiture (W&F) Program Analyst and the CI DBA who have permission to perform ad hoc queries against all data in the system. Data retrieval is not possible by SSN.

Access to the Data

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

The AFTRAK application is maintained by IRS Criminal Investigations (CI) employees. AFTRAK system users are categorized within the following user role groups:

Asset Forfeiture Specialists (AFSs), Asset Forfeiture Coordinators (AFCs) and Asset Forfeiture Coordinator Alternates have privileges to enter data and run reports within their assigned field office. All individuals acting as Asset Forfeiture Specialist are contractors.

AFTRAK Unit Employees have privileges to input seizure and asset information into the system using the application. They also have privilege to run reports for the nation. All AFTRAK Unit employees are contractors.

AFTRAK Program Manager has privileges to input seizure and asset information into the system using the application. He/she also has privilege to run reports for the nation.

W&F Program Analysts have privileges to input seizure and asset information into the system using the application. They also have privilege to run reports for the nation.

W&F Senior Analysts have privileges to view seizure and asset information in the system using the application. They also have privilege to run reports for the nation.

Supervisory Special Agent (SSA) are responsible for a group in a field office. They only have read only permissions in the system however are able to run reports.

Special Agent in Charge (SAC) are responsible for a field office. They only have read only permissions in the system however are able to run reports.

Assistant Special Agent in Charge (ASAC) help the SACs manage field offices. They only have read only permissions in the system however are able to run reports.

Director of Field Operations (DFO) are responsible for an area/region which contains multiple field offices. They only have read only permissions in the system however are able to run reports.

The AFTRAK System Managers have the ability to perform any operation in the system. They also have access to administrative screens and are responsible for maintaining any administrative information such as turning alerts on/off.

The CI Database Administrator (DBA) has permission to troubleshoot problems with the application, and to add users to the system's groups and permissions table.

Any contractor users of the system have an approved full background investigation completed by National Background Investigation Center (NBIC).

9. How is access to the data by a user determined and by whom?
The AFTRAK Program Manager reviews and approves 5081 requests for access to the system. Users are assigned to those roles (with associated permissions) that support the tasks they need to perform to complete their job duties.

10. Do other IRS systems provide, receive, or share data in the system?
Yes. Criminal Investigation Management Information System (CIMIS) is directly integrated with the AFTRAK application. CIMIS provides AFTRAK with investigation and warrant information for which CIMIS is the system of record.

11. Have the IRS systems described in Item 10 received an approved Security Certification and Privacy Impact Assessment?
CIMIS:
- The previous PIA was approved on 2/6/2006, expiring 2/6/2009.
- The last Authority to Operate (ATO) that was done on CIMIS was dated 5/8/06. The new C&A approval process is scheduled for 11/08.

12. Will other agencies provide, receive, or share data in any form with this system?
Yes. The U.S. Treasury Executive Office for Asset Forfeiture (TEOAF) receives Title 18, 21, and 31 monthly and quarterly paper reports, and various ad hoc reports from AFTRAK via manual transmission. A formal data sharing agreement exists with TEOAF.

Administrative Controls of Data

13. What are the procedures for eliminating the data at the end of the retention period?
Records are maintained, administered and disposed of in accordance with Internal Revenue Manual (IRM) 1.15.30 Records Management, Records Control Schedule for Criminal Investigation, January 1, 2003. The IRM allows that investigative files are frozen and, therefore, disposal is not authorized at this time.

14. Will this system use technology in a new way?
No. This system will not use technology in a new way.

15. Will this system be used to identify or locate individuals or groups?
No.

16. Will this system provide the capability to monitor individuals or groups?
No.

17. Can use of the system allow IRS to treat taxpayers, employees, or others, differently?
No.

18. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action?
No. AFTRAK is only an inventory tool and does not have the capability to make negative determinations.

19. If the system is Web-based, does it use persistent cookies or other tracking devices to identify Web visitors?
The system is Web-based, however there is no persistent use of cookies or other tracking devices to identify Web visitors.

View other PIAs on IRS.gov