



The Bureau of the Fiscal Service

Privacy Impact Assessment

The mission of the Bureau of the Fiscal Service (Fiscal Service) is to promote the financial integrity and operational efficiency of the federal government through exceptional accounting, financing, collections, payments, and shared services.

This Privacy Impact Assessment is a Public document and will be made available to the general public via the Fiscal Service Privacy Impact Assessment (PIA) webpage (shown below).

Fiscal Service - Privacy Impact Assessments (PIA):
http://www.fiscal.treasury.gov/fsreports/rpt/fspia/fs_pia.htm

Name of System: RO Payments

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SYSTEM GENERAL INFORMATION:

1) System Overview: Describe the purpose of the system.

The Bureau of the Fiscal Service receives certified payment information from Federal Program Agencies (FPAs) and provides the detailed information required to generate electronic funds transfers (EFT) thru the Federal Reserve System to appropriate financial institutions or to generate checks to recipients. Our major customer agencies include the Social Security Administration, the Department of Veterans Affairs, Office of Personnel Management, Internal Revenue Service, and we serve nearly 400 total Federal agency locations throughout the United States and its territories. This represents nearly all Federal agencies in the Executive Branch except for the Department of Defense and other agencies with statutory or delegated authority to disburse.

2) Under which Privacy Act Systems of Records Notice (SORN) does the system operate? Provide number and name.

FMS .002 Payment Records

3) If the system is being modified, will the SORN require amendment or revision?

yes, explain.

no

4) Does this system contain any personal information about individuals?

yes

no

a. Is the information about members of the public?

Yes, in that the system receives payment information from the Federal Program Agencies for individuals who are issued payments which includes members of the public.

b. Is the information about employees or contractors? No.

5) What legal authority authorizes the purchase or development of this system?

31 USC 3325

DATA in the SYSTEM:

1) Identify the category of individuals in the system

Check all that apply:

Employees

Contractors

Taxpayers

Others (describe) The individuals in this system are payees/recipients of US Government payments (e.g., Social Security Administration benefits, Internal Revenue Service Tax refunds, and VA Benefits, OPM Annuities, Railroad Retirement Annuities, and Miscellaneous payments etc.)

2) Identify the sources of information in the system

Check all that apply:

Employee

Public

Federal agencies

State and local agencies

Third party

a. What information will be collected from employees or contractors? None

b. What information will be collected from the public? None

c. What Federal agencies are providing data for use in the system? All FPAs for which the Bureau of the Fiscal Service provides disbursing services (i.e., almost every Federal agency) will submit data to RO Payments

d. What state and local agencies are providing data for use in the system? None

e. From what other third party sources will data be collected? None

3) Accuracy, Timeliness, and Reliability

a. How will data collected from sources, other than Fiscal Service records, be verified for accuracy?

Payment data comes only from FPAs. Each FPA is responsible for the accuracy of the payment data submitted. The Bureau of the Fiscal Service maintains no files as to entitlement for any recipient of a payment issued at the request of a FPA.

b. How will data be checked for completeness?

FPAs certify data as complete and accurate. RO Payments enforces file validation rules based on published formats, which include control records for total payment amount and number of items to be paid. These controls are certified against a summary schedule supplied by the agency via the Secure Payment System.

c. What steps or procedures are taken to ensure the data is current?

FPAs provide and certify the data received.

d. In what document(s) are the data elements described in detail?

Input File Specifications and Outgoing File Specifications

ATTRIBUTES OF THE DATA:

- 1) **How is the use of the data both relevant and necessary to the purpose for which the system is being designed?**
Use of the data is relevant and necessary to properly process the payment files from the FPAs for disbursement.
- 2) **Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected? How will this be maintained and filed?** No
- 3) **Will the new data be placed in the individual's record?** N/A
- 4) **Can the system make determinations about employees or members of the public that would not be possible without the new data?** N/A
- 5) **How will the new data be verified for relevance and accuracy?** N/A
- 6) **If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?** N/A
- 7) **If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access? (Explain)** N/A
- 8) **How will the data be retrieved? (If personal identifiers are used to retrieve information on the individual, explain and list the identifiers that will be used to retrieve data.)**
RO Payments is mainly oriented toward the processing of batches of payments and not based on retrieval of individual payments. The system will provide limited retrieval based on Name, Account, TIN, SSN or bank routing number.
- 9) **What kind of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?** None.
- 10) **What opportunities do individuals have to decline to provide information (i.e., in such cases where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses)? How can individuals grant consent?**
RO Payments does not collect any information directly from taxpayers, employees, or other payees of Federal payments. All payment-related information is provided by the FPA requesting the payment to be made and is required for accurate issuance of the payment.

MAINTENANCE AND ADMINISTRATIVE CONTROLS:

- 1) **What are the retention periods of data in this system? How long will the reports produced be kept?**

With the exception of a subset of recurring SSA payments Payment details are maintained in the system long enough to recover processing, and support agency Business Continuity Plan needs. Summary information, audit information and logs are retained indefinitely.

SSA recurring payment information is retained on an ongoing basis and is maintained with update information received from SSA.

- 2) **What are the procedures for disposition of the data at the end of the retention period? Where are the disposition procedures documented?**

Disposition of data at the end of the retention period will be controlled by the system, returning the space to the operating system.

Privacy information will not be included in reports.

Procedures are documented in the system requirements document.

- 3) **If the system is operated in more than one site, how will consistent use of the system and data be maintained at all sites?**

RO Payments is not operated at more than one site.

- 4) **Is the system using technologies in ways that Fiscal Service has not previously employed**

(e.g., monitoring software, Smart Cards, Caller-ID)? No

- 5) **How does the use of this technology affect employee or public privacy?** N/A

- 6) **Will this system provide the capability to identify, locate, and monitor individuals? If yes, explain.** No

- 7) **What kind of information is collected as a function of the monitoring of individuals?**
None

- 8) **What controls will be used to prevent unauthorized monitoring?**

Daily review of Audit Logs will alert ISSOs to any unauthorized monitoring.

ACCESS TO DATA:

- 1) **Who will have access to the data in the system?**

Check all that apply:

Contractors

Users

Managers

System Administrators

System Developers

Others (explain) Super Programmers

2) How is access to the data by a user determined? Are criteria, procedures, controls, and responsibilities regarding access documented?

Some Bureau of the Fiscal Service users at Regional Financial Centers (RFC) can view payment data files for all FPAs. Access is defined by profiles assigned to a role. Users are assigned roles by their supervisor, based on the function they are assigned. This is a new process. Procedures, controls and responsibilities are being developed and documented with EICAM. All current users have been recertified as having the appropriate access and new access request are carefully scrutinized prior to approval.

3) Will users have access to all data on the system or will the user's access be restricted? Explain.

Yes, some users have access to all data on the system and some users have restricted access. User access is defined and controlled by role based security. Users are assigned the profile(s) with the level of access needed to perform job duties based on the defined roles. Access to the data files is audited and a record of any interaction is recorded and reviewed by the ISSO.

4) What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access? (Please list processes and training materials)

Interactions with the incoming and outgoing RO Payments files are audited and written to a permanent, unalterable log, which includes type of transaction, date/time, and user identifier. These interactions display on the daily report which is reviewed by the ISSOs. Any attempts to browse/update/copy are recorded on the report and the ISSO follows up with the user and their supervisor.

5) If contractors are/will be involved with the design, development or maintenance of the system, were Privacy Act contract clauses inserted in their contracts and were other regulatory measures addressed?

Yes, Privacy Act clauses are in the contract.

6) Do other systems share data or have access to the data in the system?

yes
 no

If yes,

a. Explain the interface.

b. Identify the role responsible for protecting the privacy rights of the public and employees affected by the interface.

7) Will other agencies share data or have access to the data in this system?

yes
 no

If yes,

a. Check all that apply:

Federal

State
 Local
 Other (explain) _____

- b. Explain how the data will be used by the other agencies.**
- c. Identify the role responsible for assuring proper use of the data.**