



**Savings Bond Replacement System (SaBRe)
Privacy Impact Assessment (PIA)**

May 31, 2012

System Information

Name of System, Project or Program: Savings Bond replacement System (SaBRe)
OMB Unique Identifier: 015-35-01-14-01-1005-00-402-124

Contact Information

- 1. Who is the person completing this document? (Name, title, organization, phone, email, address).**

Tom E Dickason, Director
Division of Records Systems
304-480-7323
Tom.Dickason@bpd.treas.gov
200 Third St
Parkersburg, WV 26106-1328

- 2. Who is the system owner? (Authorizing Official Name, title, organization, phone, email, address).**

Paul V. Crowe
Assistant Commissioner
Office of Retail Securities
304-480-6516
Paul.Crowe@bpd.treas.gov
200 Third Street
Parkersburg, WV 26106-1328

- 3. Who is the system manager? (Name, title, organization, phone, email, address).**

Tom E Dickason, Director
Division of Records Systems
304-480-7323
Tom.Dickason@bpd.treas.gov
200 Third Street
Parkersburg, WV 26106-1328

4. Who is the Information Systems Security Manager who reviewed this document? (ISSM Name, title, organization, phone, email, address).

David Ambrose,
Information Systems Security Manager
Office of Information Technology
Security Program Staff
304-480-7972
Jim.McLaughlin@bpd.treas.gov
200 3rd Street
Parkersburg, WV 26106-1328

5. Who is the Bureau Privacy Act Officer who reviewed this document? (Name, title, organization, phone, email, address).

Jim D. McLaughlin
Information Systems Security Manager
Office of Information Technology
Security Program Staff
304-480-7972
Jim.McLaughlin@bpd.treas.gov
200 3rd Street
Parkersburg, WV 26106-1328

6. Who is the IT Reviewing Official? (CIO Name, title, organization, phone, email, address).

Kimberly A. McCoy
Assistant Commissioner
Office of Information Technology
304-480-6635
Kim.McCoy@bpd.treas.gov
200 Third Street
Parkersburg, WV 26106-1328

System Application/General Information

1. Does this system contain any information in identifiable form?

Yes

2. What is the purpose of the system/application?

Information in this system of records is collected and maintained to enable Bureau of the Public Debt (BPD) and its agents to issue savings bonds, to process transactions, to make payments, and to identify owners and their accounts.

3. What legal authority authorizes the purchase or development of this system/application?

5 U.S.C.301; 31 U.S.C. 3101, *et seq*

4. Under which Privacy Act SORN does the system operate? (Provide the system name and unique system identifier.)

Treasury/BPD.002 – United States Savings-Type Securities-Treasury/BPD

Data in the System

1. What categories of individuals are covered in the system?

Present and former owners of, claimants to, persons entitled to, and inquirers concerning United States savings-type securities and interest thereon, including, but not limited to, United States Savings Bonds, Savings Notes, Retirement Plan Bonds, and Individual Retirement Bonds.

2. What are the sources of the information in the system?

a. Is the source of the information from the individual or is it taken from another source? If not directly from the individual, then what other source?

Individual

b. What Federal agencies are providing data for use in the system?

Federal Reserve Banks – Minneapolis and Atlanta
Bureau of the Public Debt

c. What State and/or local agencies are providing data for use in the system?

None

d. From what other third party sources will data be collected?

None

e. What information will be collected from the employee and the public?

Issuance: Records relating to registration, issuance and correspondence in connection with issuance of savings-type securities.

- Name of Registered Owner or First Named Co-owner
- Taxpayer Identification Number (TIN) of the registered owner or first named co-owner
- Name of Beneficiary or Second Named Co-owner
- Taxpayer Identification Number (TIN) of the beneficiary or second named co-owner
- Inscription Address

Holdings: Records documenting ownership, status, inscription information, interest activity, non-receipt or over-or-underpayments of interest and principal and numerical registers of ownership.

Transactions (redemptions, payments and reissues): Records, which includes securities transaction requests; interest activity; legal papers supporting transactions; applications for disposition or payment of securities and/or interest thereon of deceased or incapacitated owners; records of retired securities; and payment records.

Claims: Records including correspondence concerning lost, stolen, destroyed, or mutilated savings-type securities; bonds of indemnity; legal documents supporting claims for relief; and records of caveats entered.

Inquiries: Records of correspondence with individuals who have requested information concerning savings-type securities and/or interest thereon.

3. Accuracy, Timelines, and Reliability

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

The certifying officer must require the person presenting a bond, or appropriate BPD transaction form, to establish his or her identity in accordance with Department of Treasury instructions and identification guidelines.

b. How will data be checked for completeness

The SaBRe system will edit each field to see that the data has the correct type and number of characters and is in the correct format.

c. Is the data current? What steps or procedures are taken to ensure the data is current and not out-of-date? Name the document (e.g., data models.)

Yes. System edits are applied to ensure data is current. Processing errors in the system involving incorrect information are handled quickly.

d. Are the data elements described in detail and documented? If yes, what is the name of the document?

Yes. Data elements are described in detail and documented in the E-Source Guides with cross-references to the Federal Register, Department Circular (Treasury) and Code of Federal Regulations. The SaBRe interface document in the Production Operating Procedures (POP) manual lists required data elements, descriptions, field type and sizes.

Attributes of the Data

1. Is the use of the data both relevant and necessary to the purpose for which the system is being designated?

Yes. Information in this system of records is collected and maintained to enable BPD and its agents to process transactions, to make payment, and to identify owners and their accounts.

2. Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected, and how will this be maintained and filed?

Yes. Data collected will be used to document ownership, status, payment date, inscription information, interest activity, non-receipt, or over or under payments of interest and principle and numerical register of ownership. Data is stored on paper, microfilm or electronic media.

3. Will the new data be placed in the individual's record?

The data is placed in an existing file system with information on the individual. (e.g. taxpayer identification number, inscription address, etc.)

4. Can the system make determinations about employees/public that would not be possible without the new data?

Yes. New data will update an individual's records of issuance, holdings, transactions or claims.

5. How will the new data be verified for relevance and accuracy?

System edits are applied to ensure data is current. Processing errors in the system involving incorrect information are handled quickly.

6. If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?

SaBRe data is contained in secure buildings and processing environment. Employees or agents of BPD are subject to the Treasury Department Code of conduct and must undergo periodic personnel screening procedures.

Numerous steps are involved in the data retrieval process; unauthorized persons would be unable to retrieve information in meaningful form. Information stored in electronic media is safeguarded by automatic data processing security procedures in addition to physical security measures.

7. If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access? Explain.

Yes. Security controls are reviewed annually. Every year SaBRe undergoes a Security Assessment and Authorization following NIST SP 800-37 guidelines.

Different security controls are reviewed and tested annually. If the system undergoes a change that would impact security, then a full new certification and accreditation would be completed.

8. How will the data be retrieved? Does a personal identifier retrieve the data? If yes, explain and list the identifiers that will be used to retrieve information on the individual.

Data can be retrieved in a number of ways using a personal identifier. Information can be retrieved alphabetically by name, address, and period of time the security was issued, by bond serial numbers, other assigned identifier, or, in some cases, numerically by taxpayer identification number (social security number or employer identification number). In the case of securities registered in more than one name, information relating thereto can be retrieved only by the names, or, in some cases, the taxpayer identification number of the registrants, primarily the registered owners or first-named co-owners. In the case of gift bonds inscribed with the taxpayer identification number of the purchaser, bonds are retrieved under that number, or by bond serial number.

9. What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?

Reports are produced based on records of correspondence with individuals who have requested information concerning savings-type securities and/or interest thereon. Only those employees who have been preauthorized for the inquiry functional capabilities can access the reports.

Maintenance and Administrative Controls

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

The system is maintained at the Bureau of the Public Debt's (BPD) facility and at our off-site backup facility. BPD uses remote copy technology for data replication to our backup facility.

- 2. What are the retention periods of data in this system?**

Records of holdings, forms, documents and other legal papers which constitute the basis for transactions subsequent to original issue are maintained for such time as is necessary to protect the legal rights and interests of the United States Government and the person affected or otherwise until they are no longer historically significant.

- 3. What are the procedures for disposition of the data at the end of the retention period? How long will the reports produced be kept? Where are the procedures documented?**

Other records are disposed of at varying intervals in accordance with records retention schedules reviewed, approved, and documented by the National Archives and Records Administration (NARA). Paper and microform records that are ready for disposal are destroyed by shredding or maceration. Records in electronic media are electronically erased using accepted techniques.

- 4. Is the system using technologies in ways that the bureau/office has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?**

No

- 5. How does the use of this technology affect public/employee privacy?**

The SaBRe system does not use any technologies that the bureau/office has not previously employed. Safeguards are in place to allow users of the SaBRe system to only have access to the data they need to perform their job duties. The public does not have access to the SaBRe system.

- 6. Will this system provide the capability to identify, locate, and monitor individuals? If yes, explain.**

Yes. Information in this system of records is collected and maintained to enable BPD and its agents to process transactions, make payments, and identify owners and their accounts.

7. What kinds of information are collected as a function of the monitoring of individuals?

Information in this system of records is collected and maintained to enable BPD to process transactions, make payments, and identify owners and their accounts.

8. What controls will be used to prevent unauthorized monitoring?

Information is contained in secure buildings or in areas, which are occupied either by officers and responsible employees of BPD who are subject to personnel screening procedures and to the Treasury Department Code of Conduct or by agents of BPD who are required to maintain proper control over records while in their custody. Additionally, since in most cases, numerous steps are involved in the retrieval process, unauthorized person would be unable to retrieve information in meaningful form. Information stored in electronic media is safeguarded by automatic data processing security procedures in addition to physical security measures. Additionally, for those categories of records stored in computers with online terminal access, the information cannot be accessed without proper passwords and preauthorized functional capability.

9. Under which Privacy Act SORN does the system operate? Provide number and name.

Treasury/BPD.002 – United States Savings-Type Securities-Treasury/BPD

10. If the system is being modified, will the Privacy Act SORN require amendment or revision? Explain.

The existing Privacy Act system of records, which covers this system, was not substantially revised.

Access to Data

1. Who will have access to the data in the system? (e.g., contractors, users, managers, system administrators, developers, others.)

The primary users of data in the system will be:

- BPD employees:

These records may be disclosed to:

- Agents for contractors of the Department for the purpose of administering the public debt of the United States
- Next-of-kin, voluntary guardian, legal representative or successor in interest of a deceased or incapacitated owner of securities and others entitled to the reissue, distribution, or payment for the purpose of assuring equitable and lawful disposition of securities and interest
- Either co-owner for bonds registered in that form or to the beneficiary for bonds registered in that form, provided that acceptable proof of death of the owner is submitted
- The Internal Revenue Service (IRS) for the purpose of facilitating collection of the tax revenues of the United States
- The Department of Justice in connection with lawsuits to which the Department of the Treasury is a party to trustees in bankruptcy for the purpose of carrying out their duties
- The Veterans Administration and selected veterans' publications for the purpose of locating owners or other persons entitled to undeliverable bonds held in safekeeping by the Department
- Other Federal agencies to effect salary or administrative offset for the purpose of collecting debts
- A consumer reporting agency, including mailing addresses obtained from the IRS to obtain credit reports
- A debt collection agency, including mailing addresses obtained from the IRS, for debt collection services
- Contractors conducting Treasury-sponsored surveys, polls, or statistical analyses relating to the marketing or administration of the public debt of the United States
- Appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license
- A court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in connection with criminal law proceedings or in response to a subpoena
- A Congressional office in response to an inquiry made at the request of the individual to whom the record pertains

- Disclose through computer matching information on individuals owing debts to the BPD to other Federal agencies for the purpose of determining whether the debtor is a Federal employee or retiree receiving payments which may be used to collect the debt through administrative or salary offset
- Disclose through computer matching information on holdings of savings-type securities to requesting Federal agencies under approved agreements limiting the information to that which is relevant in making a determination of eligibility for Federal benefits administered by those agencies
- Disclose through computer matching, information on individuals with whom the Bureau of the Public Debt has lost contact, to other Federal agencies for the purpose of utilizing letter forwarding services to advise these individuals that they should contact the Bureau about returned payments and/or matured, unredeemed securities
- Debtor information is also furnished, in accordance with 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982, to consumer reporting agencies to encourage repayment of an overdue debt

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

Information is contained in secure buildings or in areas, which are occupied either by officers and responsible employees of BPD who are subject to personnel screening procedures and to the Treasury Department Code of Conduct or by agents of BPD who are required to maintain proper control over records while in their custody. Additionally, since in most cases, numerous steps are involved in the retrieval process, unauthorized person would be unable to retrieve information in meaningful form. Information stored in electronic media is safeguarded by automatic data processing security procedures in addition to physical security measures. Additionally, for those categories of records stored in computers with online terminal access, the information cannot be accessed without proper passwords and preauthorized functional capability. BPD maintains documented procedures concerning controls and responsibilities regarding access.

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

User access is restricted. Safeguards are in place to only allow users of the system to have access to the data they need to perform their job duties.

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

Security Plan
Risk Management Plan
System Assessment and Authorization process
Security Matrix
Rules of Behavior
Mandatory Periodic training in Computer Security Awareness
Quarterly Newsletter “Frontline”
Audit Trails/Logs
Continuous Monitoring Process

5. Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system? If yes, were a Privacy Act contract clause inserted in their contracts and other statutory and regulatory measures addressed?

No contractors are involved with the maintenance of the system.

6. Do other systems share data or have access to the data in the system? If yes, explain.

Yes.

TreasuryDirect exchanges data to verify the accuracy of definitive United States Savings Bonds submitted for conversion to electronic form. The data exchanged is limited to description information of the bond (series type, denomination, serial number and security status), and does not involve personally identifiable or sensitive financial information of individuals.

SaBRe system receives a file of classified issue and retirement transactions from the HH/H system classification process.

SaBRe system also provides accounting files to the Public Debt Accounting and Reporting System (PARS).

7. Who will be responsible for protecting the privacy rights of the public and employees affected by the interface?

All BPD employees who have access to information in a Privacy Act system are responsible for protecting personal information covered by the Privacy Act. The information owner, system manager and ultimately the BPD Chief Information Officer (CIO) have the responsibility to see that the data is protected from all threats.

8. Will other agencies share data or have access to the data in this system (e.g. Federal, State, Local, and Others)?

Social Security Administration (SSA)
Internal Revenue Service (IRS)

9. How will the data be used by the other agency?

SSA provides BPD with a finder file containing numerous social security numbers extracted from SSA Supplemental Security Income Record, Special Veterans Benefits full text and Medicare records. BPD will match the social security number (SSN) on the finder file with the SSN on its savings bond registration system of records. The data exchanged does contain personally identifiable information. This allows BPD to disclose data to SSA to be used in identifying Supplemental Security Income (SSI) plus Medicare applicants and recipients who did not report or incorrectly reported ownership of United States Savings Bonds.

BPD enlists the help of the IRS to locate owners of matured unredeemed savings bonds. BPD sends IRS the taxpayer identification numbers of the owners of record. The IRS compares the data against its database, identifies potential matches and mails a letter (provided by BPD) to each match asking the owner of record to contact BPD. Releasing these held payments helps reduce the matured unredeemed debt.

10. Who is responsible for assuring proper use of the data?

All BPD employees who have access to the system, the system manager, system owner and ultimately the BPD Chief Information Officer (CIO) are responsible for assuring the proper use of data in the system.

The BPD Disclosure Officer is responsible for administering requests for system data submitted to the BPD involving the Privacy Act. BPD fully complies with the provisions of the Freedom of Information Act (FOIA), Title 5 U.S.C. Section 552, and the Privacy Act, Title 5 U.S.C. Section 552a. BPD provides an established procedure to solicit requests to review and correct information recorded, and we have a dedicated Disclosure Officer who manages and administers the program.

Attach Signature Page