



## *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):  
[https://www.fiscal.treasury.gov/fsreports/rpt/fspia/fs\\_pia.htm](https://www.fiscal.treasury.gov/fsreports/rpt/fspia/fs_pia.htm)

**Name of System:** Treasury Retail E-Services (TRES)

**Document Version:** 3

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**SYSTEM GENERAL INFORMATION:**

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

Treasury Retail E-Services (TRES) is a multi-channel customer service solution that manages and tracks all retail customer interactions (including central site printing of correspondence) across multiple sites.

TRES supports the delivery of high quality, consistent and efficient customer service to all Retail Securities Services inquiries from account holders and the general public. Customer Service Representatives (CSRs) have a fully integrated view of the customer and their past interactions. Information processed and/or stored by TRES includes investor names, addresses, contact numbers, and taxpayer identification numbers.

TRES also centralizes and images all incoming mail at the Fulfillment Center to produce Virtual (digital) Case Files (VCF), which allows CSRs to view and process digital copies of all documents pertaining to a customer's transactions.

Tax Time Bonds (TTB) is an application within the TRES information system boundary. It supports the automated processing of paper savings bond purchases through Internal Revenue Service (IRS) during tax time.

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

- BPD.002 – United States Savings-Type Securities
- BPD.003 – United States Securities (Other than Savings-Type Securities)
- BPD.008 – Retail Treasury Securities Access Application
- BPD.009 – U.S. Treasury Securities Fraud Information System

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

   yes, explain.

  X   no

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

yes

no

a. Is the information about members of the public?

Yes

b. Is the information about employees or contractors?

No

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

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

**DATA in the SYSTEM:**

1) Identify the category of individuals in the system

Check all that apply:

Employees

Contractors

Taxpayers

Others (describe)

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?

Information collected from the public include customer or contact name, mailing address, e-mail address, phone numbers, Taxpayer Identification Number (TIN), account numbers, second named owner or beneficiary of a savings bond if applicable, and other relevant information to assist the customer.

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

Bureau of the Fiscal Service (Fiscal Service) and the Federal Reserve Bank (FRB), acting as a fiscal agent under the auspices of Fiscal Service, provide data for use in the system.

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Additionally, the IRS sends electronic files for savings bonds purchased with tax refund monies.

**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 are data collected from sources, other than Fiscal Service records, verified for accuracy?**

CSRs will verify the accuracy of key data each time the customer or contact calls, e-mails, or sends correspondence to a TRS site.

TTB key data elements go through at least two validation passes. End of day balancing, accounting and reporting are validated by operations analysts prior to sending the print file to Fiscal Service's print site.

The TIN of all bond owners is validated using rules provided by the Social Security Administration.

**b. How will data be checked for completeness?**

Each service request or case in TRES is updated to denote actions completed, and is closed out when completed.

TTB will validate incoming files based on built-in logic, and if an error occurs the application will create an Exception that requires review by an operations analyst.

In all circumstances, CSRs and analysts follow established procedures and guidelines for ensuring data completeness.

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

Data is current within each request/case. CSRs will verify the accuracy of key data each time the customer makes an inquiry.

CSRs follow established procedures and guidelines for ensuring the data is current.

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

The data elements are described in detail and documented in the CRM application data dictionary.

Data elements for TTB are described in the Solution Architecture Document (SAD).

**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?**

Data is used to track customer interaction and to directly perform a transaction. In all cases the data is used to completely and accurately provide customer service or perform a transaction for the customer.

TTB uses data captured to process savings bond issuance and reissues for investors.

- 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 – new data is not derived.

- 3) Will the new data be placed in the individual's record?**

Not Applicable

- 4) Can the system make determinations about employees or members of the public that would not be possible without the new data?**

Not Applicable

- 5) How will the new data be verified for relevance and accuracy?**

Not Applicable

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

Not Applicable – Data is not being consolidated.

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

Not Applicable – Processes are not being consolidated.

- 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.)**

Data can be retrieved by customer or contact name, TIN, mailing address, phone number or e-mail address.

**9) What kind of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?**

Reports are available to show the number of inquiries made by an individual and the details of each inquiry. These reports are for internal use only. Only users that have the appropriate access within TRES have the ability to retrieve the reports.

TTB produces reports that are aggregated. An individual's savings bond order history can also be reported. However, this report is for internal use only. Only users with the appropriate access and "a need to know" can generate these reports.

**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?**

All information gathered from the customer is voluntary. If a customer prefers not to provide the requested information, positive identification may not be possible. In such a case, the customer may provide a written request.

**MAINTENANCE AND ADMINISTRATIVE CONTROLS:**

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

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 according to their respective retention schedules.

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

All records maintained by this system are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the File Plan are approved by NARA.

**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?**

Sites operate in compliance with Treasury information handling and privacy requirements. Additionally, a common manual is used for guidance.

**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?**

Not Applicable

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

When a customer contacts TRS by e-mail or phone, the system attempts to identify the customer or contact using the telephone number or e-mail address. The customer or contact address on file is used to mail information to the customer or contact.

CSRs are able to search by the individual's name or TIN to obtain information on an individual's interaction with TRS in an effort to service a customer's request or inquiry. The system does not provide the functionality to monitor individuals.

**7) What kind of information is collected as a function of the monitoring of individuals?**

Not Applicable – TRES does not monitor individuals.

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

Not Applicable – TRES does not monitor individuals.

**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) FRB**

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

Access is determined by the role of the user and their position as it relates to the TRS business. Procedures are in place to manage the access process whereby the management at each TRS site authorize/request access for staff. Fiscal Service and FRB staff use multi-factor authentication.

**3) Will users have access to all data on the system or will the user's access be**

**restricted? Explain.**

The system employs a role-based access model. Staff is placed in groups according to the business need. Some roles allow access to customer data, while some roles are administrative and do not allow access to customer data.

**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)**

- All TRES users are required to adhere to their information security policies.
- Information security reviews of all access capabilities are completed by TRS department managers/supervisors at least once each year.
- All TRES users are required to complete sensitive information training courses.
- Security Assessment and Authorization review is completed annually, and Continuous Monitoring is in place.

**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?**

Contractors are restricted to the design/development of the system. FRB, however, will perform system maintenance. The contract contains a confidentiality clause and also requires each contractor to sign a non-disclosure agreement for both FRB and Fiscal Service. The non-disclosure agreement references the Privacy Act, and other statutory and regulatory measures.

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

yes  
 no

If yes,

**a. Explain the interface.**

- The Retail Payments Office (RPO), within the Federal Reserve System, receives a bond image file from the TRES system. TRES converts each bond image to a file type compatible with RPO processing. The file is then sent to the RPO via a secure connection. The RPO utilizes the Check 21 solution to clear large volumes of savings bonds as a fiscal agent to the Treasury.
- TreasuryDirect customer contact data is loaded into TRES customer relationship tracking.
- TRES interfaces with the Savings Bond Replacement System (SaBRe) for bond status information.
- TTB interfaces with Payment Automation Manager (PAM), Fiscal Service's print site, FedACH, SaBRe, Debt Information Management System (DIMS) – Summary Debt Accounting System (SDAS), and



Treasury Cash Management System/Direct Voucher Submission (TCMS/DVS). All interfaces are performed over secure connections.

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

All employees with access to the system or data produced by the system are responsible for protecting the privacy rights of the public. Customer information affected by the interface is protected in accordance with information classification and handling policies.

**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.**

The IRS will share tax time bond order files with TTB.

**c. Identify the role responsible for assuring proper use of the data.**

All employees with access to the system or data produced by the system are responsible for assuring proper use of the data in accordance with information classification and handling policies.