



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: Debt Information Management System (DIMS)

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SYSTEM GENERAL INFORMATION:

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

DIMS supports the Fiscal Accounting Operations (FAO) staff in effectively and efficiently administering the Government Agency Investment Services (GAIS) and Summary Debt Accounting (SDA) programs on behalf of the Bureau of the Fiscal Service (Fiscal Service) and Treasury. Specifically, DIMS is a financial management system that provides investment accounting services for the administration of:

- Federal trust fund portfolios invested in Government Account Series (GAS) securities,
- State and local government entities investing in State and Local Government Series (SLGS) securities,
- Federal Housing Administration (FHA) Debentures as well as other securities in the Special Purpose Securities Program,
- The Federal Borrowings Program and associated loan portfolios of participating entities,
- The summary accounting for the Public Debt Outstanding, associated interest expense and receivables, payables and other data related to the public debt of the United States.

With the exception of the FHA debenture program, DIMS does not contain or process PII data.

Notes: Federal Housing Administration (FHA) Debenture program –

The Fiscal Service acts as the agent for FHA. As an agent, Fiscal Service establishes and maintains book entry accounts for the owners of FHA Debentures and accounts for any associated transactions, as well as, tracking and processing of old definitive debentures that have matured but not been redeemed. FHA accounts that are for individuals contain PII data. Currently, the only PII data in the system is associated with the definitive debentures.

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

BPD .003--United States Securities (Other than Savings-Type Securities)

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?

 x yes

___ no

a. Is the information about members of the public? Yes, except for the FHA debenture holders, this information is business contact information.

b. Is the information about employees or contractors? Yes

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?

- Account Name
- Account Address
- Contact Person
- Telephone Number
- Email Address

b. What information will be collected from the public?

- Account Name
- Account Address
- Social Security Number
- Tax Identification Number
- Contact Person
- Telephone Number
- ABA Routing Number
- Financial Institution Name
- Bank Account Name
- Bank Account Number
- Bank Account Type

- Email Address

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

PII data = FHA

Non-PII data = Multiple federal agencies for non-PII data (e.g., Department of Labor, Federal Trust Fund Administrators, Social Security Administration)

d. What state and local agencies are providing data for use in the system?

Note: No PII from state and local government entities. Non-PII information is provided by state and local government entities who are issuers with proceeds subject to yield restrictions and arbitrage rebate requirements under the Internal Revenue Code.

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

Fiscal agents/trustees of state and local government entities investing in SLGS securities.

3) Accuracy, Timeliness, and Reliability

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

DIMS has multiple automated system edits and input controls to help validate data for accuracy and prevent users from initiating erroneous and/or unauthorized transactions. New edits introduced to the system and existing edits are thoroughly tested prior to deployment. Management controls supplement logical and physical protections by requiring regular and frequent review of audit trails, audit logs, and access violation reports. Fiscal Service's computing infrastructure is subject to frequent independent audits and regular security reviews.

b. How will data be checked for completeness?

Through verifications and reconciliation, FAO accountants/analysts check system data for accuracy and completeness. Fiscal Service also provides various reports to the Department of Housing and Urban Development (HUD) at each month end. This information provides a financial summary of the FHA Debentures program to assist HUD in verifying the accuracy and completeness of the data.

In addition, DIMS has multiple automated system edits and input controls to prevent users from initiating erroneous and/or unauthorized transactions. New edits introduced to the system and existing edits are thoroughly tested prior to deployment. Management controls supplement logical and physical protections by requiring regular and frequent review of audit trails, audit logs, and access violation reports. Fiscal Service's computing infrastructure is subject to frequent independent audits and regular security reviews.

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

FAO accountants/analysts monitor data inputs and perform daily reconciliations. In addition, system edits help to ensure the data is current and accurate. FHA provides debenture data and the data is currently static data. No new debentures have been issued by FHA.

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

The data elements are described in detail and documented in FHA procedures and documentation. FHA debenture data is summarized within DIMS.

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?

Information in this system is collected and maintained to enable Fiscal Service to process transactions, to make payments, to identify owners and their accounts, and to account for the national debt outstanding and associated interest expense.

2) Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected? How is it maintained and filed?

The system will not derive new data or create previously unavailable data about an individual.

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

There will be no new data created.

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

No. There will be no new data created.

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

There will be no new data created.

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

The data will not be consolidated. FHA PII data is segregated from the remaining system data.

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

Processes will not be 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.)

FHA debentures: Personal identifiers can be used to retrieve data. PII identifiers that can be used are:

- Social Security Number
- Tax Identification Number

DIMS uses user IDs for data retrieval regarding user usage and access.

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. N/A, N/A

Note 1: Form 1099-INT, Interest Income, is issued to individual FHS debenture owners, who have earned interest from their debenture(s). Copies of the Form 1099-INT are mailed to Internal Revenue Service (IRS).

Note 2: DIMS conducts annual user recertification. External users cannot access FHA debenture information.

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?

None. –As part of the debenture issuance process, FHA works with the individuals receiving a debenture, collects the required information (including PII) and forwards that information to FAO, which manually enters the data into DIMS to create the individual's FHA Debenture account.

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 persons affected or otherwise until they are no longer historically significant.

Fiscal Service has implemented a records management procedure to ensure the correct and proper retention and ultimate disposal of systemic and business records for DIMS. This procedure was established based on regulatory guidance provided by the National Archives and Records Administration (NARA). This guidance addresses the general records requirements as cited in the relevant sections of the General Records Schedule (GRS) 20 and 24, and the specific guidance set forth in the electronic records as cited in NARA Bulletin 2003-02.

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

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 ready for disposal, are destroyed by shredding or maceration. Records in electronic media are electronically erased using accepted techniques.

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?

The systems will not be operated in multiple sites.

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.

Yes. Information in this system of record is collected and maintained to enable Fiscal Service to process transactions, make payments, and identify owners and their accounts.

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

- Account Name
- Account Address
- Social Security Number
- Tax Identification Number
- Contact Person
- Telephone Number
- ABA Routing Number
- Financial Institution Name
- Bank Account Name
- Bank Account Number
- Bank Account Type
- Email Address

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

Information stored in electronic media is safeguarded by automatic data processing security procedures in addition to physical security measures. For those categories of records stored in computers with online terminal access, the information cannot be accessed without the proper credentials.

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)_____

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

Access to system information is selectively granted based on employee's need to perform his/her official duties. The criteria, procedures, controls, and responsibilities are documented in FAO. The data for each supported program is segregated within DIMS. Access is obtained through different front ends specifically designed to support each individual program.

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

Access is restricted through logical access controls that are system based mechanisms used to specify which individuals and/or processes are to have access to a specific system resource and the type of access that is to be permitted. These controls limit users' access to information and restrict their access in the system to their designated level.

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)

Fiscal Service has implemented suitable system, personnel and physical security measures to adequately protect the confidentiality and integrity of the information in the system. Some of the controls that are in place to help prevent misuse are audit control logs, user access privileges which limits the user to authorized areas, and annual recertification of user accesses by management.

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, contractors are involved in the development and maintenance of DIMS. The Privacy Act contract clause is included in their contracts along with 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.

Secure Payment System (SPS)

SPS is a Bureau of the Fiscal Service system used for the secure transmission and certification of payment data via electronic means. A file is created from data in the InvestOne component of DIMS and uploaded into SPS to make Tribal Terrestrial Trust Funds payments.

Universal Automated Clearing House (UACH)

The UACH application is designed to send and receive Automated Clearing House (ACH) files via secure transmission through the Federal Reserve Bank (FRB) network. The UACH application can process and send ACH pre-note files and payment files received from the SLGS application as well as receive and process ACH payment return files, pre-note return files and acknowledgments received from the FRB. FHA Debenture payments are made through this process.

Financial Institution Information

Limited FHA debenture holder's banking information is shared with the holder's financial institution to electronically process financial transactions. A FHA debenture holder must have an active account at a U.S. based financial institution. All payment transactions processed through DIMS are made by crediting the debenture holder's designated bank account at a financial institution via UACH in conjunction with the Automated Clearing House (ACH) network. Financial institutions provide the initial defense against fraudulent or unauthorized transactions. Fiscal Service verifies the debenture holder's bank account information (ABA routing number and account number) prior to each semi annual interest payment. The information shared is limited to:

- The bondholder's ABA routing number
- The bondholder's account number
- The bondholder's account name
- The bondholder's account type
- The bondholder's tax identification number
- The dollar amount of the transaction

Fiscal Service provides income earnings information on FHA bondholders to the Internal Revenue Service (IRS) to comply with the Internal Revenue Code.

U.S. Courts Investments Program

Fiscal Service will share files and reports with the U.S. Courts via a secure ftp site. U.S. Courts will retrieve the files and reports when made available by Fiscal Service. FHA Debenture information is not part of this program.

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

All Fiscal Service employees who have access to information in a Privacy Act system are responsible for protecting personal information covered by the Privacy Act. The Authorizing Official (AO), Information System Security Officer (ISSO), Business Data Owner (BDO), System Owner (SO), and ultimately the Fiscal Service CIO have the responsibility to see that the data is protected from all threats.

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.

In accordance with Title 5 U.S.C. Section 552a (b), Fiscal Service is permitted to release customer information in response to a subpoena or order issued by a U.S.

based court. We are further permitted to release information to other government organizations to enable them to perform their official duties. These other government organizations include but are not limited to:

- Law enforcement agencies on the federal, state or local level;
- Employees or representatives of the Government Accountability Office (GAO);
- Members of Congress, or their authorized representatives.

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

A Fiscal Service official determines whether the organization's need for the information is justified, and responds to the request based on that determination.