



## *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](http://www.fiscal.treasury.gov/fsreports/rpt/fspia/fs_pia.htm)

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

**Document Version:** 2

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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 across both Treasury Retail Securities (TRS) sites at the Bureau of the Fiscal Service (Fiscal Service) and the Federal Reserve Bank (FRB).

TRES supports the delivery of high quality, consistent, and efficient customer service for all Retail Securities' inquiries from account holders and the general public. Information processed and/or stored by TRES includes customer or contact names, mailing addresses, e-mail addresses, phone numbers, Social Security Numbers (SSN), account numbers from some legacy systems, and other customer case file information.

**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.

no

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

yes

no

**a. Is the information about members of the public?**

YES

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**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**

Retail securities' customers or contacts – owners or inquirers of U.S. savings securities, U.S. Treasury marketable securities, and other non-marketable federal debt obligations managed by Retail are the categories of individuals.

**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 (Bureau of the Fiscal Service)
- 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, SSN, account numbers, and other relevant information to assist the customer.

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

Fiscal Service, and FRB, acting as a fiscal agent under the auspices of Fiscal Service are providing data for use in the system.

**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?**

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

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

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

Bond examiners 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. Customer service representatives will verify the accuracy of key data each time the customer makes an inquiry.

Bond examiners 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 customer relationship management tool data dictionary.

**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 are 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.

- 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?**

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 - 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)**

N/A - Process is 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, SSN, 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. All staff with the appropriate access to TRES have the ability to retrieve the 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?**

At this time, there are no plans to delete data from the customer relationship management tool database. Procedures are not necessary at this time.

- 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?**

TRES is operated at two sites. Both sites operate in compliance with Treasury information handling and privacy requirements. Additionally, a common handbook 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?

N/A

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

When a customer or contact 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. The system cannot be used to monitor individuals.

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

N/A - TRES does not monitor individuals.

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

N/A - 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) TWAI Support Staff

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 Retail Securities management staff at each site authorize/request access for staff. Fiscal Service staff uses PIV cards, and FRB staff/contractors use PIV-I credentials to authenticate to the system.

**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 others may be administrative roles.

**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?**

**\_x\_** yes  
 **\_\_** no

If yes,

**A. Explain the interface.**

The Retail Payments Office (RPO) receives a bond image file from the TRES system.

TRES system converts each bond image to a file type compatible with RPO processing. The file is then sent to the RPO via a secure connection (eliminating the need to send the paper bond to the RPO for imaging).

**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,

N/A

**A. Explain how the data will be used by the other agencies.**

N/A

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

N/A