



**Treasury Automated Auction Processing System
TAAPS®
Privacy Impact Assessment (PIA)**

February 6, 2008

System Information

Name of System, Project or Program: Treasury Automated Auction Processing System (TAAPS®)

OMB Unique Identifier: N/A

Contact Information

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

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- 6. Who is the IT Reviewing Official?**

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System Application/General Information

- 1. Does this system contain any information in identifiable form?** No.
- 2. What is the purpose of the system/application?** To raise funds necessary to subsidize the Federal Government's financial obligations by auctioning Treasury Marketable securities.
- 3. What legal authority authorizes the purchase or development of this system/application?** Chapter 31 of Title 31 of the United States Code authorizes the Secretary of the Treasury to issue United States obligations, and to offer them for sale with the terms and conditions that the Secretary prescribes.
- 4. Under which Privacy Act SORN does the system operate? (Provide the system name and unique system identifier.)** N/A

Data in the System

1. **What categories of individuals are covered in the system?** TAAPS® does not contain, process, or transmit personally identifiable information. The category of individuals covered in the system is investors.
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?** TAAPS® does not contain, process, or transmit personally identifiable information.
 - b. **What Federal agencies are providing data for use in the system?** None.
 - 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?** TAAPS® does not contain, process, or transmit personally identifiable information.
3. **Accuracy, Timelines, and Reliability**
 - a. **How will data collected from sources other than bureau records be verified for accuracy?** Investors are responsible for the accuracy of the data that they submit. The system performs reasonableness checks and verifies tenders against established rules.
 - b. **How will data be checked for completeness?** Primary Dealers are required to participate in every auction. Any primary dealer not participating in an auction will be called to remind them of the auction. Other investors participate at their discretion. No actions are taken to ensure the completeness from other investors. Incomplete data within a tender is checked for completeness by both the system and by the staff as it is entered.
 - 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.)** Investors are responsible for the accuracy of the data that they submit. The system performs reasonableness checks and verifies tenders against established rules.

- d. **Are the data elements described in detail and documented? If yes, what is the name of the document?** Yes, described in the System Security Plan.

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?** TAAPS® does not contain, process, or transmit personally identifiable information.
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?** TAAPS® does not contain, process, or transmit personally identifiable information.
3. **Will the new data be placed in the individual's record?** TAAPS® does not contain, process, or transmit personally identifiable information.
4. **Can the system make determinations about employees/public that would not be possible without the new data?** TAAPS® does not contain, process, or transmit personally identifiable information.
5. **How will the new data be verified for relevance and accuracy?** TAAPS® does not contain, process, or transmit personally identifiable information.
6. **If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?** TAAPS® does not contain, process, or transmit personally identifiable information.
7. **If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access? Explain.** TAAPS® does not contain, process, or transmit personally identifiable information.
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.** TAAPS® does not contain, process, or transmit personally identifiable information.
9. **What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?** TAAPS® does not contain, process, or transmit personally identifiable information.

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?** Multiple components are in place to ensure consistency of data.
2. **What are the retention periods of data in this system?** Currently, electronic data is stored permanently.
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?** Data is retained permanently.
4. **Is the system using technologies in ways that the bureau/office has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?**
Yes
5. **How does the use of this technology affect public/employee privacy?**
TAAPS® does not contain, process, or transmit personally identifiable information.
6. **Will this system provide the capability to identify, locate, and monitor individuals? If yes, explain.** No
7. **What kinds of information are collected as a function of the monitoring of individuals?** N/A
8. **What controls will be used to prevent unauthorized monitoring?** N/A
9. **Under which Privacy Act SORN does the system operate? Provide number and name.** N/A
10. **If the system is being modified, will the Privacy Act SORN require amendment or revision? Explain.** N/A

Access to Data

1. **Who will have access to the data in the system?** The primary users of the data in the system will be Public Debt and Federal Reserve employees.
2. **How is access to the data by a user determined?** Criteria, procedures, controls, and responsibilities regarding access are documented. Access is limited to only the data required to perform assigned duties.

3. **Will users have access to all data on the system or will the user's access be restricted? Explain.** User's access will be restricted using role based access.
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.)** Federal Reserve Bank and Public Debt both have rules of behavior in place.
5. **Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system? Yes. If yes, was Privacy Act contract clauses inserted in their contracts and other statutory and regulatory measures addressed? Yes.**
6. **Do other systems share data or have access to the data in the system? If yes, explain. Yes. Information is shared via file transfer.**
7. **Who will be responsible for protecting the privacy rights of the public and employees affected by the interface? Although TAAPS® does not contain, process, or transmit personally identifiable information, all Public Debt and Federal Reserve employees who have access to the system are responsible for protecting the information in the system. The information owner, system manager and ultimately Public Debt's 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)? No.**
9. **How will the data be used by the other agency? N/A**
10. **Who is responsible for assuring proper use of the data? Although TAAPS® does not contain, process, or transmit personally identifiable information. All Public Debt and Federal Reserve employees who have access to the system are responsible for protecting the information in the system. The information owner, system manager and ultimately Public Debt's CIO have the responsibility to see that the data is protected from all threats.**