

**U.S. International Boundary & Water Commission (USIBWC)
Information Management Division (IMD)**



Privacy Impact Assessment (PIA)

For the

Finance and Accounting Division

Date: January 13, 2017

CONTACT INFORMATION AND BACKGROUND

Date Submitted to IMD: January 13, 2017		PIA Status <input checked="" type="checkbox"/> New <input type="checkbox"/> Updated	Agency: U.S. International Boundary & Water Commission (USIBWC)
System/Project Name: General Support System / Finance and Accounting Division		System/Project Acronym: GSS / FAD	
Sponsoring USIBWC Division or Office: IMD			
Person Completing this PIA Form		Information Security Manager for this System/Project	
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System Owner for this System/Project		Program Manager for this System/Project	
Name: Maritza Dominguez Title: IT Specialist / Network Administrator Division: IMD Telephone: 915-832-4130		Name: Dorinda Morgan Title: Chief, Finance and Accounting Division Division: Finance and Accounting Division Telephone: 915-832-4132	
Privacy Office or Designee		Reviewing Official	
Name: Matthew Myers Title: Chief Legal Counsel/Senior Agency Official for Privacy Division: Legal Affairs Office Telephone: 915-832-4728		Name: Diana Forti Title: Chief Information Officer (CIO) Division: Administrative Department Telephone: 915-832-4123	
Additional Points of Contact (POCs) / Subject Matter Experts for this System/Project (if applicable)			
POC's Name: Title: Division: Telephone Number:		POC's Name: Title: Division: Telephone Number:	
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Section 1.0: Introduction

In accordance with federal regulations and mandates¹, the USIBWC conducts Privacy Impact Assessments (PIAs) on systems, business processes, projects and rulemakings that involve an *electronic* collection, creation, maintenance or distribution of personally identifiable information (PII).² The objective of a Privacy Impact Assessment is to identify privacy risks and integrate privacy protections throughout the development life cycle of an information system or electronic collection of PII. A completed PIA also serves as a vehicle for building transparency and public trust in government operations by providing public notice to individuals regarding the collection, use and protection of their personal data.

To fulfill the commitment of the USIBWC to protect personal data, the following requirements must be met:

- Use of the information must be controlled.
- Information may be used only for necessary and lawful purposes.
- Information collected for a particular purpose must not be used for another purpose without the data subject's consent unless such other uses are specifically authorized or mandated by law.
- Information collected must be sufficiently accurate, relevant, timely, and complete to ensure the individual's privacy rights.

Given the vast amounts of stored information and the expanded capabilities of information systems to process the information, it is foreseeable that there will be increased requests, from both inside and outside the USIBWC, to share sensitive personal information.

Upon completion of this questionnaire and prior to acquiring signatures, please email the form to the ISSM /ISSO: z.mora@ibwc.gov & hector.villalobos@ibwc.gov who will review your document, contact you with any questions, and notify you when the PIA is ready to be routed for signatures.

Section 2.0: System/Project Description

2.1 In this section of the Privacy Impact Assessment (PIA), describe the system/project and the method used to collect, process, and store information. Additionally, include information about the business functions the system/project supports.

FAD Business functions include various Financial duties;

Separate external Systems are accessed to process all these business functions within FAD. Systems include; WebTA, FPPS, Data Mart, Employee Express and WTTs. These are the systems used with IBC for payroll. While accessing these systems to conduct our business functions we obtain documents and information, in both electronic and hard copy, of the actions and store that on FAD assigned shared network drives and secure file cabinets. Some of that information and data contains PII.

Section 3.0: Data in the System/Project

The following questions address the type of data being collected and from whom (nature and source), why the data is being collected (purpose), the intended use of the data, and what opportunities individuals have to decline to provide information or to consent to particular uses of their information.

3.1 What personally identifiable information (PII) (e.g., name, social security number, date of birth, address, driver's license, passport, financial account, etc.) will be collected, used or maintained in the system? Explain.

¹ [Section 208 of the E-Government Act of 2002](#) requires federal government agencies to conduct a Privacy Impact Assessment (PIA) for all new or substantially changed technology that collects, maintains, or disseminates personally identifiable information (PII). Office of Management and Budget (OMB) Memorandum [M-03-22](#) provides specific guidance on how Section 208 should be implemented within government agencies. The [Privacy Act of 1974](#) imposes various requirements on federal agencies whenever they collect, create, maintain, and distribute records that can be retrieved by the name of an individual or other personal identifier, regardless of whether the records are in hardcopy or electronic format. Additionally, [Section 522](#) of the 2005 Consolidated Appropriations Act requires certain Federal agencies to ensure that the use of technology sustains, and does not erode, privacy protections, and extends the PIA requirement to the rulemakings process.

² For additional guidance about USIBWC rulemaking PIAs, contact the IMD ISSM / ISSO Staff at (z.mora@ibwc.gov & hector.villalobos@ibwc.gov).

PII maintained in the system are name, social security number, date of birth, address, financial accounts.

3.2 What is the purpose and intended use of the information you described above in Question 3.1? (e.g., For administrative matters, For criminal law enforcement activities, To conduct analysis concerning subjects of investigative For litigation or other interest, etc.)

The above data is used for payroll purposes and reimbursements to employees.

3.3 Who/what are the sources of the information in the system? How are they derived? (e.g., In person, telephone, email, hard copy, online, etc.)

The information is obtained through secure access to the payroll system.

3.4 What Federal, state, and/or local agencies are providing data for use in the system? What is the purpose for providing data and how is it used? Explain.

We run reports using the Internal Business Services, which is the payroll service provider. Reports are utilized to enter payroll data into the general ledger system. The data is also used to set employees up as vendors so that travel and reimbursements may be processed.

3.5 What other third-party sources will be providing data to the system? Explain the data that will be provided, the purpose for it, and how will it be used.

None

3.6 Do individuals have the opportunity to decline to provide personal information and/or consent only to a particular use of their data (e.g., allowing basic use of their personal information, but not sharing with other government agencies)?

Yes Explain the issues and circumstances of being able to opt out (either for specific data elements or specific uses of the data):

No Explain: PII is used for payroll and reimbursements only and is not shared.

Section 4.0: Data Access and Sharing

The following questions address who has access to the data, with whom the data will be shared, and the procedures and criteria for determining what data can be shared with other parties and systems.

4.1 Who will have access to the data in the system (internal and external parties)? Explain their purpose for having access to this information.

Externally – N/A

Internally – Limited Finance personnel, limited Budget personnel, limited Acquisitions personnel, Human Resources, System Administrators and Chief Administrative Officer, data would be used for payroll/personnel actions and reimbursements.

4.2 How is access to the data determined and by whom? Explain the criteria, procedures, controls, and responsibilities for granting access.

Access is only granted to personnel that need to access the data in order to perform their job. Reports are also ran to give personnel data that they need in order do their job but limits the data to the minimal amount required to complete the task. Individuals need to validate the need to obtain the information, this validation is performed by the Chief of Finance and the Chief Administrative Officer.

4.3 Do other systems (internal or external) receive data or have access to the data in the system? If yes, explain.

No

Yes Explain.

4.4 If other agencies or entities use data in the system, explain the purpose for sharing the data and what other policies, procedures, controls, and/or sharing agreements are in place for protecting the shared data.

N/A

4.5 Who is responsible for assuring proper use of data in the system and, if applicable, for determining what data can be shared with other parties and systems? Have policies and procedures been established for this responsibility and accountability? Explain.

The Chief of Finance ensures proper use of the data. Once the request is made, the Chief of Finance will validate the request and then present the data to the Chief Administrative Officer for final approval.

4.6 What involvement will a contractor have with the design and maintenance of the system? Has a Contractor Confidentiality Agreement or a Non-Disclosure Agreement been developed for contractors who work on the system?

N/A

Section 5.0: Data Integrity and Security

The following questions address how data security and integrity will be ensured for the system/project.

5.1 How is data in the system verified for accuracy, timeliness, and completeness?

Data is backed up and IMD has security measures in place.

5.2 What administrative and technical controls are in place to protect the data from unauthorized access and misuse? Explain.

The IMD is charged with protecting the data from individuals without authorization to access FAD shared drives. Physical, printed documents are stored in locked file cabinets within locked offices. Whenever any information is sent via email, a program called WinZip is used to zip the information with a password. The data is sent encrypted within WinZip and the password to unzip or unencrypt the data is sent in separately.

Section 6.0: Data Maintenance and Retention

The following questions address the maintenance and retention of records, the creation of reports on individuals, and whether a system of records is being created under the Privacy Act, 5 U.S.C. 522a.

6.1 How is data retrieved in the system or as part of the project? Can it be retrieved by a personal identifier, such as name, social security number, etc.? If yes, explain, and list the identifiers that will be used to retrieve information on the individual.

Retained on a secure drive for as long as needed and is accessed by opening the report.

6.2 What kind of reports can be produced on individuals? What is the purpose of these reports, and who will have access to them? How long will the reports be maintained, and how will they be disposed of?

N/A

6.3 What are the retention periods of data in this system? What are the procedures for disposition of the data at the end of the retention period? Under what guidelines are the retention and disposition procedures determined? Explain.

FAD disposition and retention periods follow IBWC Records Management and NARA regulations.

6.4 In the Federal Register, under which Privacy Act Systems of Record Notice (SORN) does this system operate? Provide number and name.

N/A

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

N/A

Section 7.0: Business Processes and Technology

The following questions address the magnitude of harm if the system/project data is inadvertently disclosed, as well as the choices the agency made regarding business processes and technology.

7.1 Will the system aggregate or consolidate data in order to make privacy determinations or derive new data about individuals? If so, what controls are in place to protect the newly derived data from unauthorized access or use?

N/A

7.2 Is the system/project using new technologies, such as monitoring software, SmartCards, Caller-ID, biometric collection devices, personal identification verification (PIV) cards, radio frequency identification devices (RFID), virtual data rooms (VDRs), social media, etc., to collect, maintain, or track information about individuals? If so, explain how the use of this technology may affect privacy.

PIV Dual authentication is required to access IBWC systems and shared drives. System events are monitored by IMD and Continuous Monitoring Team.

7.3 Will the system/project provide the capability to monitor individuals or users? If yes, describe the data being collected. Additionally, describe the business need for the monitoring and explain how the information is protected.

N/A

7.4 Explain the magnitude of harm to the agency if privacy-related data in the system/project is disclosed, intentionally or unintentionally. Would the reputation of the agency be affected?

Highly sensitive information is kept on our shared drive. The USIBWC reputation would be greatly effected in a negative way if data was disclosed intentionally or unintentionally.

7.5 Did the completion of this PIA result in changes to business processes or technology? If yes, explain.

Yes. The IMD will provide the recommendations from section 2.1 to Executive Management of the USIBWC. Any approved recommendations will be converted into action items and tracked by the SOAP and the IMD. PIA assessments are a good reminder to identify privacy risks and integrate privacy protections to mitigate vulnerabilities.

**Privacy Impact Assessment
Authorization Memorandum**

(Note: Do not route this form for signature until you have received approval from the IMD Staff.)

This system or application was assessed and its Privacy Impact Assessment approved for publication.

DORINDA MORGAN
Digitally signed by DORINDA MORGAN
Date: 2017.02.16 11:38:37 -07'00'

**Dorinda Morgan
Project / Program Manager**

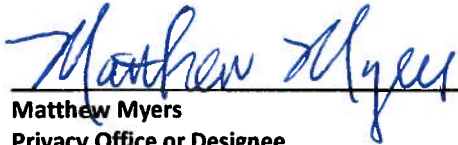
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Date: 2017.03.15 22:15:42 -06'00'

**Zenon Mora
Information Security Manager**

Date



**Matthew Myers
Privacy Office or Designee**

Date



**Diana Forti
Reviewing Official**

5/9/17

Date