



## Privacy Impact Assessment Template

**TRANSIT BENEFITS SYSTEM**  
**(SYSTEM NAME)**

**8/24/2016**

**DATE**

This template is used when the Chief Privacy Officer determines that an IT System contains Personally Identifiable Information and a more in-depth assessment is required.

Complete and sign this template and forward to the Chief Privacy Officer.

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## Guidance for Completing the Privacy Impact Assessment

A Privacy Impact Assessment (PIA) is an analysis of how information in identifiable form (“IIF”; also referred to as Personally Identifiable Information (PII)) is handled. PIAs are to be completed when FHFA: 1) develops or procures an IT System or project that collects, maintains, or disseminates IIF from or about members of the public; or 2) initiates a new electronic collection of IIF for 10 or more members of the public. PIAs are not required for collections of information from Federal employees. IIF about government personnel generally is protected by the Privacy Act; however the Office of Management and Budget (OMB) encourages agencies to conduct PIAs on these Systems, as appropriate. System Owners and Developers are responsible for completing the PIA.

The guidance below has been provided to help System Owners and Developers complete a PIA.

### Overview

- In this section, provide a thorough and clear overview of the System and give the reader the appropriate context to understand the responses. Some questions to consider include:
  - What is the purpose of the System?
  - What will be the primary uses of the System?
  - How will this support the Division’s/Office’s/Program’s mission?
- This section fulfills the E-Government Act’s requirement for an introduction for members of the public who may be reading the PIA. PIAs may be made publicly available unless a determination is made to not make the PIA available because publication would raise security concerns and/or reveal classified or sensitive information.

**FOR A PIA COMPLETE ALL SECTIONS.**

**FOR A MODIFIED PIA COMPLETE THE FOLLOWING SECTIONS ONLY:**

- Overview
- Sections 1, 2, and 6

### Section 1.0 Characterization of the Information

- Identify if the System contains information about individuals, versus statistical, geographical, or financial information, with no link to a name or other identifier, such as, home address, social security number, account number, home, mobile or facsimile telephone number, or personal e-mail address.
- Examples of sources of the information include information that comes from an individual applying for a loan or mortgage, or other forms that an individual completes. A question to consider:
  - Where does the data originate? (e.g., FHFA, Office of Personnel Management, Regulated Entities, other Financial Institutions, or third parties). A third party is usually a non-Federal person or entity, which may be a source of data/information (e.g., a bank, an internet service provider, or a private organization).
- If the System collects information from 10 or more members of the public, ensure that FHFA has received prior approval from OMB to do so or determine whether OMB’s approval is needed to collect the information in accordance with the Paperwork Reduction Act. If you are unsure of this last requirement, contact the Office of General Counsel for assistance.

### Section 2.0 Uses of the Information

- Identify the primary uses of the information and how the information supports FHFA's or the Office's/Division's/Program's mission.
- Identify the controls that are in place to ensure the information will be used for the manner for which it was collected. For example, access to the information will be restricted to a limited number of staff who use the data for their specific program use.

### Section 3.0 Retention

- The Privacy Act requires an agency to address the retention and disposal of information about individuals. This retention information is published in the Privacy Act System of Record Notice (SORN).
- The retention periods for data/records that FHFA manages are contained in either the National Archives and Records Administration (NARA) General Records Schedule (GRS) or FHFA's Records Schedule. For the data being created/ maintained in the System, these records schedules are the authoritative sources for this information. For assistance, contact FHFA's Records Management Office.
- Disposing of the data at the end of the retention period is the last state of life-cycle management. Records subject to the Privacy Act have special disposal procedures (e.g. shredding of paper documents).

### Section 4.0 Notice, Access, Redress and Correction

- The Privacy Act requires that "each agency that maintains a System of records shall maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or by executive order of the President." 5 U.S.C. 552a(e)(1).
- Data can be retrieved in a number of ways, but there is usually a personal identifier associated with a record. If the System retrieves information by an individual's name or other unique identifier (e.g. social security number) it is a Privacy Act System and may need a SORN published in the Federal Register. The System may already have a Privacy Act SORN. If you do not have a published SORN, or are unsure whether one exists, contact the Chief Privacy Officer.
- If a name or other unique identifier is not used to retrieve information, it is possible that the System is not a Privacy Act System. However, even though information may not fall under the Privacy Act's protection and requirements, certain information may still be protected from disclosure under the Freedom of Information Act.
- The agency has developed and published an agency specific Privacy Act Rule in the Federal Register (12 CFR Part 1204) that explains how individuals can gain access to information about themselves and correct errors, if appropriate.
- Any employee who knowingly and willfully maintains a System of Records without meeting the Privacy Act notice requirements (5 U.S.C. 552a(e)(4)) is guilty of a misdemeanor and may be fined up to \$5,000.

### Section 5.0 Sharing and Disclosure

- If you do not know whether or not Systems share data, contact either the business owner of the data, or the IT specialist who knows what interfaces exist between the Systems/applications. As an example, if your System/application shares data with another System/application, ask yourself whether you have access to the data in the interfaced System/application. If so, then your answer is yes and an explanation is needed.
- Also consider "other" users who may not be obvious as those listed, such as the General Counsel Accountability Office or the FHFA Office of Inspector General. "Other" may also include database administrators or IT Security Officers. Also include organizations listed in the Privacy Act SORN

under the “Routine Use” section when a Privacy Act SORN is required. The more comprehensive the list, the better it is.

- You must first review the SORN to determine whether any information that may come from an existing SORN allows that information to be exchanged and used for these new purposes or uses. There are restrictions on the use and disclosure of information that are set forth in a SORN.

### Section 6.0 Access and Security

- Access to data by a user (i.e. employee or contractor personnel) within FHFA is determined on a “need-to-know” basis. This means to authorized employees or contractor personnel who have a need for the information to perform their duties may be granted access to the information. Factors to consider in making this determination include the user’s job requirements including supervisory responsibilities.
- The criteria, procedures, controls and responsibilities regarding access must be documented in order to comply with the intent of the Federal Information Security Management Act of 2002 for standards and guidelines on security and privacy.
- The System owner is responsible for ensuring that access to information and data is restricted to authorized personnel. Usually, a user is only given access to certain information that is needed to perform an official function. Care should be given to avoid “open Systems” where all information can be viewed by all users. System administrators may be afforded access to all of the data depending upon the System and/or application. However, restrict access when users do not need to have access to all the data.
- When a contract provides for the operation of a System on behalf of FHFA, the Privacy Act requirements must be applied to such a System. Contact the Contracting Officer or Contracting Officer’s Representative to determine whether the contract contains the Privacy Act clause and the requirements thereunder.
- The Security Assessment and Authorization (SA&A) process requires a System security plan that identifies the technical controls associated with identification and authentication of users. Certain laws and regulations require monitoring of Systems to ensure that only authorized users can access the System for authorized reasons. In doing so, consider what controls are in place to ensure that only those authorized to monitor the System can in fact monitor use of the System. For example, business rules, internal instructions, and posting Privacy Warning Notices address access controls and violations for unauthorized monitoring. System Owners are responsible for ensuring that no unauthorized monitoring is occurring.
- The IT Security Plan describes the practice of applying logical access controls. Logical access controls are System-based means by which the ability to access a System is either explicitly enabled or restricted. System Owners are responsible for ensuring that no unauthorized access is occurring.
- The IT Security Plan describes the practice of audit trails. An audit trail maintains a record of System activity and user activity including invalid logon attempts, access to data and monitoring. The SA&A process requires a System security plan outlining the implementation of the technical controls associated with identification and authentication.
- According to OMB Circulars A-123 and A-130, every System/application/process that uses data must have controls in place to prevent the misuse of the data by those having access to the data. For instance, in computerized Systems the Security Information Record (SIR) is part of the Core Storage Terminal Table. The SIR is the automated tool that identifies and authenticates an individual for the System and is transparent to the user. Describe these processes in response to this question.
- All employees, including contractors, have requirements for protecting information in Privacy Act Systems. Describe the controls in place, including any privacy and security awareness controls such as training materials, to protect the information.

PIA FORM

Overview

This section provides an overview of the System and addresses the following:

- The System name and the division/office that owns the System;
- The purpose of the program, System, or technology and how it relates to the agency’s mission; and
- A general description of the information in the System.

Date submitted for review: 8/24/2016

<b>System Name:</b>			
<b>System Owner(s)</b>			
<b>Name</b>	<b>E-mail</b>	<b>Division/Office</b>	<b>Office Phone Number</b>
Katrina Jones	Katrina.Jones@fhfa.gov	OFOM	(202) 649- 3789
<b>System Overview:</b> Briefly describe the purpose of the program, System, or technology, and the information in the System, and how it relates to the agency’s mission.			
<p>The Transit Benefit System is an intranet portal that: (1) allows employees to submit requests for parking and public transportation benefits (2) enable benefit administrators to assess employee eligibility and to approve/disapprove requests, and (3) maintains the status of transit benefits currently being received.</p> <p>The system provides FHFA employees eligibility for transit benefits as parking and public transportation for the Fiscal Year. Parking benefits are offered as temporary or permanent building parking at FHFA Headquarters, Constitution Center, Washington, D.C. Public transportation benefits are offered as Metro or Commuter transportation benefits. FHFA or Personal Smartrip cards can be used to access public transportation benefits. In general, employees are able to submit requests for either permanent building parking or public transportation benefits, not both. However, employees who have been approved for public transportation benefits can obtain temporary parking benefits on a case-by-case basis, if building parking is available at Constitution Center.</p> <p>A System Administrator is assigned who has access and approval authority for both parking and public transportation. A Parking Manager Administrator is assigned who can only approve the benefits for parking requests and provide the fiscal year reporting information. A Transit Benefit Administrator is assigned who can only approve the request for public transportation benefits. The various administrators may assign another person to perform their respective role if needed, by providing to them an “access level role.” Administrators, based on their access levels, can view and produce reports such as Assigned Parking Pass, Request History, Active Benefits Listing, and Pending Benefits Listing.</p>			

**Section 1.0 Characterization of the Information**

The following questions define the scope of the information requested and/or collected as well as reasons for its collection as part of the program, System, or technology being developed. The questions address all information collected, with more emphasis provided on the collection of PII, such as name, address, social security number, date of birth, financial information, etc.

#	Question	Response
1.1	What information is collected, used, disseminated, or maintained in the System?	FHFA employee applicants' information for transit benefits: name, employment status (i.e., years of FHFA service, grade), work duty station, phone number and e-mail address, Smartrip card number, and type of request (e.g., permanent or temporary parking).
1.2	What are the sources of the information in the System?	Information comes from the FHFA employee's application for benefits submitted online and from employee data obtained from FHFA Human Resources Information System (HRIS).
1.3	Why is the information being collected, used, disseminated, or maintained?	The information is used to administer the FHFA transit subsidy benefits program; and to administer the parking program to allocate the limited number of parking spaces among employees and visitors, to facilitate the formation of car pools with employees who have been issued parking permits, and to provide for the safe use of FHFA facilities.
1.4	How is the information collected?	The information is taken from the transit benefits system application submitted by the employee for benefits and an interface with the HRIS system.
1.5	Given the amount and type of data collected, what risks to an individual's privacy are associated with the data?	In the event of a data loss or mishandled data, the risk to personal privacy of FHFA personnel is that their benefit application information, such as name, employment status (i.e., years of FHFA service, grade), office duty station, work phone number and e-mail address, has the potential of being compromised.

**Section 2.0 Uses of the Information**

The following questions delineate the use of information and the accuracy of the data being used.

#	Question	Response
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#	Question	Response
2.1	Describe the uses of information.	Information stored in Transit Benefits System will enable benefit administrators to assess employee eligibility for benefits, to approve/disapprove requests, and to maintain the status of transit benefits currently being received.
2.2	Describe any types of controls or safeguards in place to ensure that information is only used in the manner for which it was collected.	Only authorized users will have access to the information, specifically, the System Owner, System Administrator, Parking Manager Administrator, Transit Benefit Administrator; and OFOM, OHRM and authorized OTIM personnel. The various administrators may assign another person to perform their respective role if needed, by providing to them an “access level role.” Administrators, based on their access levels, can view and produce reports such as Assigned Parking Pass, Request History, Active Benefits Listing, and Pending Benefits Listing. Authorized administrators will have the ability to run reports, and monitor the user and data being requested and grant and remove user accounts and permissions. Authorized OTIM IT Security users will further have the ability to check/track log files, system penetrations and misuse of the system.

**Section 3.0 Retention**

The following questions outline how long information will be retained after the initial collection.

#	Question	Response
3.1	How long is information retained?	N/A
3.2	Has a retention schedule been approved by FHFA’s Records Management Officer and NARA? If yes, provide the corresponding GRS or FHFA specific Records Schedule number.	N/A
3.3	Discuss the risks associated with the length of time data is retained and how those risks are mitigated.	N/A

**Section 4.0 Notice, Access, Redress and Correction**

The following questions are directed at notice to the individual, the individual’s right to consent to uses of the information, the individual’s right to decline to provide information, and an individual’s ability to ensure the accuracy of the information collected about them.

#	Question	Response
4.1	Has a System of Record Notice (SORN) been created? If so, provide the SORN name and number. If one has not, and one is required, provide the name of the SORN and the expected publication date in the Federal Register.	N/A
4.2	Was notice provided to the individual prior to collection of information?	N/A
4.3	Do individuals have the opportunity and/or right to decline to provide information?	N/A
4.4	What are the procedures that allow individuals to gain access to their information?	N/A
4.5	What are the procedures for correcting inaccurate or erroneous information?	N/A

**Section 5.0 Sharing and Disclosure**

The following questions define the content, scope, and authority for information sharing.

#	Question	Response
5.1	With which internal organization(s) is the information shared? What information is shared and for what purpose?	N/A
5.2	With which external organization(s) is the information shared? What information is shared, and for what purpose? External organization(s) include Federal, state and local government, and the private sector.	N/A

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#	Question	Response
5.3	Is the sharing of PII outside the agency compatible with the original information collection? If so, is it covered by an appropriate routine use in a SORN? Describe such use. If not, describe the legal authority that permits PII to be shared outside of FHFA.	N/A
5.4	Given the external sharing, explain the privacy risks identified and describe how they were/are mitigated.	N/A

**Section 6.0 Technical Access and Security**

The following questions describe technical safeguards and security measures.

#	Question	Response
6.1	What procedures are in place to determine which users may access the System? Are these procedures documented in writing? <u>If so, attach a copy to this PIA.</u>	The Transit Benefits System Security Plan (SSP) documents the account management procedures applicable to the system.
6.2	Will non-FHFA personnel (e.g. contractor personnel, regulated entity personnel) have access to the System and information contained therein? If yes, how will they gain access to the System? How will the agency control their access and use of information? Are there procedures documented in writing? <u>If so, attach a copy to this PIA.</u>	The Transit Benefits System is accessible by FHFA employees and contractors with current Active Directory accounts. These users will only have access to information relating to their own parking and transportation subsidy history. Privileged users must be specifically approved and added to the system by an administrator. Parking administration is separated from the Transit Subsidy administration. The System Security Plan (SSP) documents account management procedures.
6.3	Describe the training that is provided to users either generally or specifically that is relevant to the program or System?	All FHFA employees are required to participate in annual Information System Security Awareness and Privacy Training. Privileged FHFA users are trained on account management procedures by OTIM. User manuals are available to facilitate training sessions.
6.4	What technical safeguards are in place to protect the data?	Application access is restricted through role based access controls. All privileged users must be granted a specific role within the Transit Benefits application. Multiple roles exist within the application to allow for role based access control. General users can only access the application with a current FHFA Active

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#	Question	Response
		Directory account, and can only access data relevant to their own parking and transit subsidy history.
6.5	What auditing measures are in place to protect the data?	OTIM has developed weekly audit logs that identify all user activity from the previous week. This report is reviewed by the system owner to identify potentially unusual or suspicious activity.
6.6	Has a SA&A been completed for the System or Systems supporting the program? If so, provide the date the last SA&A was completed. If not, and one is required, provided the expected completion date of the SA&A.	Yes. See attached FHFA TBS Security Authorization Decision dated September 22, 2015.

Signatures

Katrina Jones  
System Owner (Printed Name)

  
System Owner (Signature)

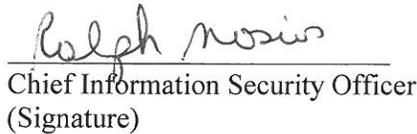
8/31/16  
Date

*Anthony Vitale for*  
Ron Molinas  
System Developer (Printed Name)

  
System Developer (Signature)

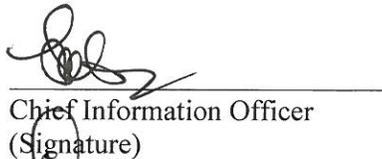
9/6/16  
Date

Ralph Mosios  
Chief Information Security Officer  
(Printed Name)

  
Chief Information Security Officer  
(Signature)

9/6/2016  
Date

R. Kevin Winkler  
Chief Information Officer  
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9/13/2016  
Date