

Privacy and Civil Liberties Impact Assessment



Privacy and Civil Liberties Impact Assessment
for the

Office of Security Programs Onboarding Tracker
(OSP Tracker)

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Reviewing Official

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Section 1: Introduction

PCLIA's are required for all systems and projects that collect, maintain, or disseminate personally identifiable information (PII). The system owner completed this assessment pursuant to Section 208 of the E-Government Act of 2002 ("E-Gov Act"), 44 U.S.C. § 3501, Office of the Management and Budget (OMB) Memorandum 03-22, "OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002," and Treasury Directive 25-07, "Privacy and Civil Liberties Impact Assessment (PCLIA)," which requires Treasury Offices and Bureaus to conduct a PCLIA before: (1) developing or procuring information technology (IT) systems or projects that collect, maintain or disseminate PII from or about members of the public, or (2) initiating a new collection of information that: (a) will be collected, maintained, or disseminated using IT; and (b) includes any PII permitting the physical or online contacting of a specific individual, if identical questions have been posed to, or identical reporting requirements imposed on, 10 or more persons (not including agencies, instrumentalities, or employees of the federal government).

It is the policy of the Department of the Treasury ("Treasury" or "Department") and its Bureaus to conduct a PCLIA when PII is maintained in a system or by a project. This PCLIA provides the following information regarding the system or project: (1) an overview of its purpose and functions; (2) a description of the information collected; (3) a description of the how information is maintained, used, and shared; (4) an assessment of whether the system or project is in compliance with federal requirements that support information privacy; and (5) an overview of the redress/complaint procedures available to individuals who may be affected by the use or sharing of information by the system or project.

Section 2: System Overview

Section 2.1: System/Project Description and Purpose

The Office of Security Program (OSP) performs Treasury-wide security support and oversight functions for the Department's bureaus and offices, including setting Treasury-wide minimum standards. Part of the OSP's Personnel Security (Policy) function is to establish Departmental and Treasury-wide minimum standards for background investigations, types of personnel security investigations, uniformed guidelines for adjudication, determining suitability for employment, and access to classified information and sensitive but unclassified information. In order to perform its functions related to the onboarding of new Treasury personnel, OSP developed the Onboarding Tracker ("OSP Tracker" or "Tracker"). The OSP Tracker is an application within the Treasury ServiceNow General Support System. OSP uses the Tracker to maintain current, readily accessible information about the status of background investigations, security clearances, and other security-related checks that are required for Treasury personnel, contractors, interns, and others who have access to Treasury facilities and networks. The Tracker is also used to maintain information about prospective employees (i.e. members of the public) to whom Treasury extends tentative employment offers pending the outcome of their background checks. The OSP Tracker provides an online portal as a single place for managers, Administrative Resource

Center HR professionals, the Office of Human Resources, designated Contracting Officer Representatives (CORs), and designated OSP point of contacts to monitor the real-time progress through the security on-boarding process, starting from the conditional employment offer through the approval of the entry of duty date.

Non-OSP/HR users do not have permissions to see the workflow events on the OSP side. Some of the same information (e.g., fields such as dates, sponsorship, and enrollment dates), can currently be viewed in Human Resources Connect (HRC or HRConnect). After OSP approves a prospective employee for on-boarding to Treasury, the OSP Tracker sends the result to the General Services Administration's (GSA) USAccess program for Personal Identity Verification (PIV) card production.

The system does not reveal negative case decisions to the prospective manager who uses the Tracker. Successful completion of the security process is signified in the Tracker with a green light. If the clearance process results in a negative determination, the case will remain in "pending" status until approved or removed from the system.

Personally identifiable information (PII) contained in the OSP Tracker consists of Optional Form 306 and information that is extracted from the HRC system to permit identification of the individual, and subsequent information that is provided to OSP in connection with background clearance, security checks, and other security-related processes. The SF85, SF85P, and SF86 are not stored in Tracker.

1. A PCLIA is being done for this system for the first time.
2. This is an update of a PCLIA previously completed and published under this same system or project name. The date the earlier PCLIA was published was MMDDYYYY.
3. This is an update of a PCLIA previously completed and published for a similar system or project that is undergoing a substantial modification or migration to a new system or project name. The name of that previous PCLIA was [Name the PCLIA here] and the date of its publication was MMDDYYYY.

Section 2.2: Authority to Collect

Federal agencies must have proper authority before initiating a collection of information. The authority is sometimes granted by a specific statute, by Executive order (EO) of the President or other authority. The following specific authorities authorize OSP Tracker to collect information:

- *Executive Order 12968, as amended, Executive Order 13467, as amended, Executive Order 10865, Executive Order 12333, Executive Order 13764, Executive Order 13488, as amended,*
- *Homeland Security Presidential Directive 12 (HSPD-12)*
- *5 U.S.C. 1302, 2951, 3301, 3372, 4118, 8347, and Executive Orders 9397, as amended by 13478, 9830, and 12107.*
- *Treasury Directive 80-05, Records and Information Management Program*

All Treasury systems and projects derive general authority to collect information from:

- 31 U.S.C. 321 – General authorities of the Secretary establish the mission of the Department of the Treasury
- 5 U.S.C. 301 – Department regulations for the operations of the department, conduct of employees, distribution and performance of its business, the custody, use, and preservation of its records, papers, and property.

Section 2.3: Privacy Act Applicability; SORN Requirement

Under certain circumstances, federal agencies are allowed to exempt a system of records from certain provisions in the Privacy Act. This means that, with respect to information systems and papers files that maintain records in that system of records, the agency will not be required to comply with the requirements in Privacy Act provisions that are properly exempted. If this system or project contains records covered by the Privacy Act, the applicable Privacy Act system of records notice(s) (SORNs) (there may be more than one) that cover the records in this system or project must list the exemptions claimed for the system of records (it will typically say: “*Exemptions Claimed for the System*” or words to that effect).

Helpful Hint for answering questions in this section and later questions about Privacy Act exemptions: If you know there is a SORN covering the PII in this system, the answer is probably “yes.” If the system maintains PII, but that PII is not actually retrieved by a personal identified, the answer is “no.” At the bottom of the applicable SORN(s), you will find a section that says: “Exemptions Claimed for the System.” If the answer is “None” (or anything that indicates no exemptions are claimed): (1) your bureau or office does not exempt the system of records from any Privacy Act requirements; and (2) when you are asked in this template whether your bureau or office exempts the system of records from certain provisions in the Privacy Act, your answer will always be “No.”

All answers in this section must be provided in the space as instructed after checking the appropriate box(es).

Section 2.3(a) Please check ALL statements below that apply to your system or project and provide any additional information requested. Please read all possible responses before selecting an answer.

1. The system or project does not retrieve records about an individual using an identifying number, symbol, or other identifying particular assigned to the individual. A SORN is not required with respect to the records in this system.
2. *OSP Tracker* users do retrieve records about an individual using an identifying number, symbol, or other identifying particular assigned to the individual. A SORN is required with respect to the records in this system.
3. A SORN was identified in the original PCLIA and a determination was made during this current PCLIA update that modifications [choose one] were were not required to that SORN. [If modifications were made, generally describe them here]. The current applicable SORN is: [Provide here the SORN number(s), system of records name(s) and the citation to the SORN(s) in the Federal Register.]
4. A SORN(s) was not identified or required in the original PCLIA, but a determination was made during this current PCLIA update that a SORN(s) is now required. The

applicable SORN(s) is:[Provide here the SORN number(s), system of records name(s) and the citation to the SORN(s) in the Federal Register].

5. SORNs were published and no exemptions are taken from any Privacy Act requirements. *Treasury .007 Personnel Security System, Treasury .001 – Treasury Personnel and Payroll System, and OPM GOV-1 General Personnel Records.*
6. Exemptions are claimed from the following Privacy Act provisions in the applicable SORN(s): [List here all exemptions taken in the applicable SORN; Hint: it’s at the end of the SORN]: The citation to the applicable Notice of Proposed Rulemaking and/or Final Rule is[provide here the Federal Register Citation to the NPRM and Final Rule (if a Final Rule was required)].

Section 3: Information Collection

Section 3.1: Relevant and Necessary

The Privacy Act requires “each agency that maintains a system of records [to] 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). It allows federal agencies to exempt records from certain requirements (including the relevant and necessary requirement) under certain conditions. 5 U.S.C. §552a (k). The proposed exemption must be described in a Notice of Proposed Rulemaking (“NPRM”). In the context of the Privacy Act, the purpose of the NPRM is to give the public notice of a Privacy Act exemption claimed for a system of records and solicit public opinion on the proposed exemption. After addressing any public concerns raised in response to the NPRM, the agency must issue a Final Rule. It is possible for some, but not all, of the records maintained in the system or by the project to be exempted from the Privacy Act through the NPRM/Final Rule process.

Section 3.1(a) Exemption Claimed from this Requirement?

1. The PII maintained in *OSP Tracker* is **not** exempt from 5 U.S.C. § 552a(e)(1), the Privacy Act’s requirement that an agency “*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.*”
2. The PII maintained in this system or by this project **is** exempt from 5 U.S.C. § 552a(e)(1), because [See Appendix B for a list of acceptable bases for claiming this exemption and cut and paste **here** all that apply].

Section 3.1(b) Continuously Assessing Relevance and Necessity

1. The PII in the system is not maintained in a system of records. Therefore, the Privacy requirements do not apply. [Explain **here** what you do to ensure relevance and necessity despite the fact that the Privacy Act does not apply].
2. The PII in the system is maintained in a system of records, but the agency exempted these records from the relevance and necessity requirement. [Explain **here** what you do to ensure relevance and necessity to the extent possible despite the fact the records are exempt from this requirement].

3. The system owner conducted an assessment prior to collecting PII for use in the system or project to determine which PII data elements and types (see [Section 3.2](#) below) were relevant and necessary to meet the system’s or project’s mission requirements. During this analysis, *in* conducting the “relevance and necessity” analysis that is documented in this PCLIA, the system owner reevaluated the necessity and relevance of all PII data elements and determined that they are still relevant and necessary. Every time this PCLIA is updated, this ongoing assessment will be revisited. If it is determined at any time that certain PII data elements are no longer relevant or necessary, the system owner will update this PCLIA to discuss how the data element was removed from the system and is no longer collected.
4. With respect to PII *currently* maintained (as of the time this PCLIA is being done) in *OSP Tracker*, the PII is limited to only that which is relevant and necessary to meet the system’s or project’s mission requirements. During the PCLIA process, the system always undergoes a review to ensure the continuing relevance and necessity of the PII in the system.
5. With respect to PII maintained in the system or by the project, there is a process in place to continuously reevaluate and ensure that the PII remains relevant and necessary. During the PCLIA process, the system always undergoes a review to ensure the continuing relevance and necessity of the PII on the system. If a determination is made that particular PII data elements are no longer relevant and necessary in between PCLIA updates, this PCLIA will be updated at that time.

Section 3.2: PII and/or information types or groupings

The checked boxes below represent the types of information maintained in the system or by the project that are relevant and necessary for the information system or project to fulfill its mission. PII identified below is used by the system or project to fulfill the purpose stated in Section 2.2 above– Authority to Collect.

Biographical/general information

- | | | |
|---|--|---|
| <input checked="" type="checkbox"/> Name | <input type="checkbox"/> Nationality | <input checked="" type="checkbox"/> Country of Birth |
| <input type="checkbox"/> Age | <input checked="" type="checkbox"/> Citizenship | <input checked="" type="checkbox"/> Immigration Status |
| <input checked="" type="checkbox"/> Date of birth | <input type="checkbox"/> Ethnicity | <input type="checkbox"/> Alias (including nickname) |
| <input checked="" type="checkbox"/> Home physical/postal mailing address | <input type="checkbox"/> Gender | <input checked="" type="checkbox"/> City or County of Birth |
| <input checked="" type="checkbox"/> Zip Code | <input type="checkbox"/> Race | <input type="checkbox"/> Military Service Information |
| <input checked="" type="checkbox"/> Personal /Business phone, cell phone, or fax number | <input checked="" type="checkbox"/> Personal/Business e-mail address | <input type="checkbox"/> Country or city of residence |
| | <input type="checkbox"/> Other: (please describe) | |

Other information

- | | | |
|--|---|---|
| <input type="checkbox"/> Resume or curriculum vitae | <input type="checkbox"/> Cubical or office number | <input type="checkbox"/> Veteran’s preference |
| <input type="checkbox"/> Religion/Religious Preference | <input type="checkbox"/> Education Information [please describe] | <input type="checkbox"/> Spouse Information |
| <input type="checkbox"/> Professional/personal references or other information about an individual’s friends, associates or acquaintances. | <input type="checkbox"/> Contact lists and directories (known to contain at least some personal information). | <input type="checkbox"/> Retirement eligibility information |
| <input type="checkbox"/> Sexual Orientation | <input type="checkbox"/> Marital Status | <input type="checkbox"/> Information about other relatives. |

Group/Organization Membership

Information about children

Other: (please describe)
Position Number
Contract End date

Identifying numbers assigned to individuals

Full Social Security number

Personal device identifiers or serial numbers

Vehicle Identification Number

Truncated Social Security Number (e.g., last 4 digits)

Internet Protocol (IP) Address

Driver's License Number

Employee Identification Number

Personal Bank Account Number

License Plate Number

Taxpayer Identification Number

Health Plan Beneficiary Number

Professional License Number

File/Case ID Number

Credit Card Number

Passport Number and information (nationality, date and place of issuance, and expiration date)

Alien Registration Number

Patient ID Number

Other (please describe):
Personnel Type
Position Title
Pay Plan
Grade
Clearance Level
Clearance Status
Treasury affiliation status
Organization
Sub-Office

Specific Information/File Types

Taxpayer Information/Tax Return Information

Law Enforcement Information

Security Clearance/Background Check Information
(background check result: Security Process complete. Clearance completion signified by a green light in the tracker).

Civil/Criminal History Information/Police Records (obtained from government source)

Civil/Criminal History Information/Police Records (obtained from commercial source)

Credit History Information (government source)

Protected Information (as defined in Treasury Directive 25-10)

Credit History Information (commercial source)

Bank Secrecy Act Information

Information provided under a confidentiality agreement

Case files

Personnel Files

Business Financial Information (including loan information)

Personal Financial Information (e.g., loan information)

Information subject to the terms of an international or other agreement

Passport information (state which passport data elements are collected if not all)

Other: Email address

Audit Log and Security Monitoring Information

User ID assigned to or generated by a user of Treasury IT

Files and folders accessed by a user of Treasury IT

Biometric information used to access Treasury facilities or IT

- Passwords generated by or assigned to a user of Treasury IT
- Files accessed by a user of Treasury IT (e.g., web navigation habits)

- Internet or other queries run by a user of Treasury IT
- Date and time an individual accesses a facility, system, or other IT

- Contents of files accessed by a user of Treasury IT
- Information revealing an individual's presence in a particular location as derived from security token/key fob, employee identification card scanners or other IT.
- Purchasing habits or preferences

- Public Key Information (PKI).

- Still photos of individuals derived from security cameras.

- Internet Protocol (IP) Address

- Video of individuals derived from security cameras

- Commercially obtained internet navigation/purchasing habits of individuals
- Device settings or preferences (e.g., security level, sharing options, ringtones).

- Global Positioning System (GPS)/Location Data

- Secure Digital (SD) Card or Other Data stored on a card or other technology

- Network communications data

- Cell tower records (e.g., logs, user location, time etc.)

- Other: (please describe)

Medical/Emergency Information Regarding Individuals

- Medical/Health Information

- Worker's Compensation Act Information

- Emergency Contact Information (e.g., a third party to contact in case of emergency)

- Mental Health Information

- Information regarding a disability

- Patient ID Number

- Sick leave information

- Request for an accommodation under the Americans with Disabilities Act

- Patient ID Number

- Other: (please describe)

Biometrics/Distinguishing Features/Characteristics of Individuals

- Physical description/ characteristics (e.g., hair, eye color, weight, height, sex, gender etc.)
Identify which are collected: (Insert collected here)

- Signatures

- Palm prints

- Fingerprints

- Photos/Video: (identify which

- Voice audio recording

- Other: (please describe)

Identifying numbers for sole proprietors (including business information).

- Sole proprietor business credit card number

- Business Phone or Fax Number

- Business Physical/Postal Mailing Address

- Sole proprietor business professional license number

- Sole proprietor business file case number

- Sole proprietor business taxpayer identification number

- Sole proprietor business license plate number

- Sole proprietor business vehicle identification number

- Sole proprietor business bank account number

- Other (please describe):

- Other (please describe):

- Other (please describe):

Applicant Name

3.3 Sources from which PII is obtained

Focusing on the context in which the data was collected and used (i.e., why it is collected and how it is used), check ALL sources from which PII is collected/received and stored in the system or used in the project

1. Members of the Public

Members of the Public (i.e., including individuals who are current federal employees who are providing the information in their “personal” capacity (unrelated to federal work/employment). All of the following are members of the public. Please check relevant boxes (based on the context of collection and use in this system) for members of the public whose information is maintained in the system (only check if relevant to the purpose for collecting and using the information):

Members of the general public (current association with the federal government, if any, is irrelevant to the collection and use of the information by the system or project).

Retired federal employees. Discuss here how/why PII is collected from this source.

Former Treasury employees. Discuss here how/why PII is collected from this source.

Federal contractors, grantees, interns, detailees etc. Discuss here how/why PII is collected from this source. *PII is collected in order to track the status of the security onboarding activities.*

Federal job applicants.

Other: [Explain **here**].

2. Current Federal Employees, Interns, and Detailees

Current Federal employees providing information in their capacity as federal employees (for example, PII collected using OPM or Treasury forms related to employment with the federal government) Interns. *PII is collected in order to track the status of the security onboarding activities.*

Detailees. *PII is collected in order to track the status of the security onboarding activities.*

Other employment-related positions.

3. Treasury Bureaus (including Departmental Offices)

Other Treasury Bureaus: (name the bureau(s) here and identify the bureau/office information system from which the PII originated)and (how/why PII is collected from this source.).

4. Other Federal Agencies

Other federal agencies: (name each agency here and explain how/why PII is collected from this source.).

5. *State and Local Agencies*

State and local agencies: (Name the State and local agencies here and explain how/why PII is collected from this source).

6. *Private Sector*

Private sector organizations (Passenger air carrier, Cargo air carriers, Contractors Company):

7. *Other Sources*

Other sources not covered above (for example, foreign governments).
(Name the other sources here and explain how/why PII is collected from this source).

Section 3.3: Privacy and/or civil liberties risks related to collection

When Federal agencies request information from an individual that will be maintained in a [system of records](#), they must inform the individual of the following: “(A) the authority (whether granted by statute, or by executive order of the President) which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary; (B) the principal purpose or purposes for which the information is intended to be used; (C) the routine uses which may be made of the information, as published pursuant to paragraph (4)(D) of this subsection; and (D) the effects on [the individual], if any, of not providing all or any part of the requested information.” 5 U.S.C § 522a(e)(3). This is commonly called a Privacy Act Statement. The OMB Guidelines also note that subsection (e)(3) is applicable to both written and oral (i.e., interview) solicitations of personal information. Therefore, even if a federal employee or contractor has a fixed list of questions that they orally ask the individual in order to collect their information, this requirement applies.

Section 3.3(a) Collection Directly from the Individual to whom the PII pertains.

1. None of the PII in the system was collected directly from an individual to whom it pertains. *[Explain if the third-party/agency from which you obtained the PII actually collected the PII directly from the individuals about whom it pertains. Be prepared to discuss below how you ensure the information received from the third-party is still accurate, complete and timely for the purposes for which you will use it].*
2. Some or All of the information in *OSP Tracker* was collected directly from an individual to whom it pertains. *Information is collected directly from the individual and stored within HRConnect. The OSP Tracker obtains its information from HRConnect.*

Section 3.3(b) Privacy Act Statements.

1. None of the PII in the system was collected directly from the individuals to whom it pertains. Therefore, a Privacy Act Statement is not required.
2. Some All of the PII in *OSP Tracker* was collected directly from the individual to whom it pertains. Therefore, a Privacy Act Statement was posted at the point where the

PII was collected directly from the individual. That Privacy Act Statement was provided to the individual on the form in which the [PII](#) was collected on a separate sheet of paper that the individual could retain; or in an audio recording or verbally at the point where the information was collected (e.g., on the phone) or other [please explain].

3. The Privacy Act Statement contained the following:
 - a. The authority (whether granted by statute, or by Executive order of the President) which authorizes the solicitation of the information.
 - b. Whether disclosure of such information is mandatory or voluntary.
 - c. The principal purpose or purposes for which the information is intended to be used.
 - d. The individuals or organizations outside of Treasury with whom the information may be/ will be shared.
 - e. The effects on the individual, if any, if they decide not to provide all or any part of the requested information.

Section 3.3(c) Use of Full Social Security Numbers

Treasury is committed to eliminating unnecessary collection, use, and display of full Social Security numbers (“SSN”) and redacting, truncating, and anonymizing SSNs in systems and documents to limit their accessibility to individuals who do not have a need to access the full SSN in order to perform their official duties. Moreover, the [Privacy Act](#) provides that: “It shall be unlawful for any Federal, State or local government agency to deny to any individual any right, benefit, or privilege provided by law because of such individual’s refusal to disclose his social security account number.” Pub. L. No. 93–579, § 7. This provision does not apply to: (1) any disclosure which is required by federal statute; or (2) any disclosure of an SSN to any federal, state, or local agency maintaining a [system of records](#) in existence and operating before January 1, 1975, if such disclosure was required under statute or regulation adopted prior to such date to verify the identity of an individual. *Id.* at § 7(a)(2)(A)-(B).

Section 3.3(d) Justification Social Security Numbers

1. N/A No full SSNs are maintained in the system or by the project. [*Explain if any portion of the SSN short of the full 9 digits is used in the system: Explain*]; if the full SSN is located anywhere in the system (even if it is redacted, truncated or anonymized when viewed by users, please check number 2 below)].
2. Full SSNs are maintained in the system or by the project and the following approved Treasury uses of SSNs apply:
 - security background investigations;
 - interfaces with external entities that require the SSN
 - a legal/statutory basis (e.g. where collection is expressly required by statute);
 - when there is no reasonable, alternative means for meeting business requirements;
 - statistical and other research purposes;
 - delivery of government benefits, privileges, and services;
 - for law enforcement and intelligence purposes;

- aging systems with technological limitations combined with funding limitations render impracticable system modifications or replacements to add privacy risk reduction tools (partial/truncated/redacted or masked SSNs); and
- as a unique identifier for identity verification purposes.

Section 3.3(e) Controls implemented to limit access to and or improper disclosure of full Social Security Numbers

1. Full SSNs are not maintained in the system or by the project.
2. Full SSNs are maintained in *OSP Tracker* and the following controls are put in place to reduce the risk that the SSN will be seen or used by someone who does not have a need to use the SSN in order to perform their official duties (*check ALL that apply*):
 - a. The entire SSN data field is capable of suppression (i.e., being turned off) and the data field is suppressed when the SSN is not required for particular system users to perform their official duties.
 - b. do not require the SSN to perform their official duties. Within the system, an alternative number (e.g., an Employee ID) is displayed to all system users who do not require the SSN to perform their official duties. The SSN is only linked to the alternative number within the system and when reporting outside the system (to an agency that requires the full SSN). The SSN is not visible to system users (other than administrators).
 - d. The SSN is truncated (i.e., shortened to the last 4 digits of the SSN) when displayed to all system users for whom the last four digits (but not the full) SSN are necessary to perform their official duties.
 - e. Full or truncated SSNs are only downloaded to spreadsheets or other documents for sharing within the bureau or agency when disclosed to staff whose official duties require access to the full or truncated SSNs for the particular individuals to whom they pertain. No SSNs (full or truncated) are included in spreadsheets or documents unless required by each recipient to whom it is disclosed in order to perform their official duties (e.g., all recipients have a need to see the SSN for each employee in the spreadsheet).
 - f. Other: [Please describe].

Section 3.3(f) Denial of rights, benefits, or privileges for refusing to disclose Social Security Number

1. N/A No SSNs are maintained in the system or by the project.
2. Full SSNs are collected, but no individual will be denied any right, benefit, or privilege provided by law if the individual refuses to disclose their SSN for use in the *OSP Tracker*. *If the individual chooses not to provide their SSN, their application cannot be processed. The SSN is used to track the current status and completion of background investigations and security clearances. The SSN is needed to distinguish the individual from other individuals who may have the same name and/or date of birth. Executive Order 9397 also allows Federal agencies to use the SSN to help identify/distinguish individuals in agency records.*

3. Full SSNs are collected, and the individual will be denied the following right, benefit, or privilege provided by law if they refuse to disclose their SSN: [please identify the right, benefit, or privilege if the individual will be denied if they choose not to provide their SSN: Identify here]. Denial of this right, benefit or privilege does not violate the law because: [choose one of the two boxes below]:
 - a. SSN disclosure is required by the following Federal statute or Executive Order; **OR**
 - b. The SSN is disclosed to a Federal, state, or local agency that maintains a system of records that was in existence and operating before January 1, 1975, and disclosure was required under statute or regulation adopted prior to such date to verify the identity of an individual.

Section 3.3(g) Records describing how individuals exercise First Amendment rights

The Privacy Act requires that Federal agencies “maintain no record describing how any individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent to and within the scope of an authorized law enforcement activity.” 5 U.S.C. § 552a(e)(7).

1. N/A. *OSP Tracker* does ***not*** maintain information describing how an individual exercises their rights guaranteed by the First Amendment.
2. The system or project ***does*** maintain information describing how an individual exercises their rights guaranteed by the First Amendment. *If you checked this box, please check the box below that explains Treasury’s authorization for collecting this information:*
 - a. The individual about whom the information was collected or maintained expressly authorizes its collection/maintenance. The individual about whom the information was collected or maintained expressly authorized its collection by *[explain here how the individual expressly authorizes collection] (for example, individuals may expressly authorize collection by requesting in writing that Treasury share information with a third party, e.g., their Congressman);*
 - b. The information maintained is pertinent to and within the scope of an authorized law enforcement activity because [generally discuss here the nature and purpose of the information collected and the law enforcement activity];
 - c. The following statute expressly authorizes its collection: [provide here the name of and citation to the statute and the language from that statute that expressly authorizes collection] *[your response MUST contain all three if you use a statute as the basis for the collection].*

Section 4: Maintenance, use, and sharing of the information

Section 4.1: Ensuring accuracy, completeness, and timeliness of information collected, maintained, and shared when it is used to make determinations about individuals

The Privacy Act and Treasury policy require that Treasury bureaus and offices take additional care when collecting and maintaining information about individuals when it will be used to make determinations about those individuals (e.g., whether they will receive a federal benefit). This

includes collecting information directly from the individual where practicable and ensuring that the information is accurate, relevant, timely and complete to assure fairness to the individual when making a determination about them. This section addresses the controls/protections put in place to address these issues.

The [Privacy Act](#) requires that Federal agencies “maintain all records which are used by the agency in making any determination about any individual with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination.” 5 U.S.C § 552a(e)(5). If a particular [system of records](#) meets certain requirements (including the [NPRM](#) process defined in Section 3.1 above), an agency may exempt the [system of records](#) (or a portion of the records) from this requirement. Exemptions may be found at the bottom of the relevant SORN next to the heading: “*Exemptions Claimed for this System.*”

[Section 4.1\(a\). Exemption from the accuracy, relevance, timeliness, and completeness requirements in section \(e\)\(5\) of the Privacy Act](#)

1. ***None*** of the information maintained in *OSP Tracker* that is part of a system of records is exempt from the accuracy, relevance, timeliness, and completeness requirements in section (e)(5) of the Privacy Act.
2. All Some of the PII maintained in the system or by the project is part of a system of records and ***is*** exempt from the accuracy, relevance, timeliness, and completeness requirements in section (e)(5) of the Privacy Act. The exemption claimed for these records is appropriate because *[please see Appendix B which contains sample justifications for this exemption and provide the appropriate bases **here** [more than one bases may apply].*
3. The PII maintained in the system or by the project is ***not***: (a) part of a system of records as defined in section (e)(5) of the Privacy Act; or (b) used to make adverse determinations about individuals (defined in the Privacy Act as U.S. Citizens and legal permanent residents). Instead, the information is used to *[describe how the information is used and why this use does not involve adverse determinations].* *hat you read the rest of the options before checking this box* ***None*** of the information maintained in the system or by the project is part of a system of records as defined in section (e)(5) of the Privacy Act, but the information in the system ***is*** used to make adverse determinations about individuals (defined in the Privacy Act as U.S. Citizens and legal permanent residents). Despite the fact that the Privacy Act does not apply, the following protections are in place to ensure fairness to the individual: *explain **here**.*

[Section 4.1\(b\) Protections in place despite exemption from the accuracy, relevance, timeliness, and completeness requirements](#)

1. ***None*** of the information maintained in *OSP Tracker* that is part of a [system of records](#) is exempt from the accuracy, relevance, timeliness, and completeness requirements in section (e)(5) of the Privacy Act.
2. For all information maintained in the system or by the project that is part of a system of records that is exempt from the accuracy, relevance, timeliness, and completeness

requirements in section (e)(5) of the Privacy Act, the following efforts are made to ensure accuracy, relevance, timeliness, and completeness to the extent possible without interfering with the (*check one*) law enforcement intelligence other [*describe here*] mission requirements for which the system or project was created [*choose ALL that apply*]:

- a. The exempt information is **not** actually used to make any adverse determinations about individuals.
 - b. The exempt information is **not** actually used to make any adverse determinations about individuals without additional research and investigation to ensure accuracy, relevance, timeliness, and completeness.
 - c. Individuals and organizations to whom PII from the system or project is disclosed (as authorized by the Privacy Act) determine its accuracy, relevance, timeliness, and completeness in a manner reasonable for their purposes before they use it to make adverse determinations about individuals.
 - d. Individuals about whom adverse determinations are made using PII from this system or project are given an opportunity to explain or modify their information (*check one*) before after the adverse determination is made. *Any approved will have opportunity to reach out to the department of Treasury for an opportunity to explain or modify their information. It could occur before or after the approval, depending on the circumstances* Other: (*please describe*):
3. No additional efforts are made to ensure accuracy, relevance, timeliness, and completeness to the extent possible because it would interfere with mission requirements.

Section 4.1(c) Collecting information directly from the individual when using it to make

adverse determinations about them Section 552a(e)(2) of the Privacy Act requires that Federal agencies that maintain records in a system of records are required to collect information to the greatest extent practicable directly from the individual when the information about them may result in adverse determinations about their rights, benefits, and privileges under Federal programs. Agencies may exempt a system of records from this requirement under certain circumstances and if certain conditions are met.

1. The records maintained by this system or project are **not** used to make any adverse determinations about individuals.
2. The records maintained by *OSP Tracker* **are** used to make adverse determinations about individuals **and** [*check all that apply*]:
 - a. These records **were** exempted from the Privacy Act provision that requires collection directly from the subject individual to the greatest extent practicable. Exemption of these records is proper because [*explain here why the records were exempted; sample responses are provided in Appendix B of this template*].
 - b. These records were **not** exempted from the requirement to collect information directly from the individual to the greatest extent practicable **and** [*check the relevant box below and provide the information requested*].
 - i. **All** records used to make an adverse determination are collected directly from the individual about whom the decision is made.

- ii. A ***combination*** of records collected from third parties ***and*** directly from the individual about whom the determination is made are used to make the adverse determination. *Information from other federal agencies is required to verify the responses the individual provides in the relevant forms.*
- iii. ***None*** of the records used to make adverse determinations are collected directly from the individual about whom determinations are made because seeking the information directly from the individual might [*select **ALL** that apply*]:
 - alert the individual to the fact that their conduct is being observed or investigated;
 - cause the individual to alter or modify their activities to avoid detection;
 - create risks to witnesses or other third parties if the individual is alerted to the fact that their conduct is being observed or investigated;
 - Other: (*please describe **here***).

Section 4.1(d) Additional controls designed to ensure accuracy, completeness, timeliness and fairness to individuals in making adverse determinations

1. **Administrative Controls.** Individuals about whom information is collected are given the following opportunities to amend/correct/update their information to ensure it is accurate, timely and complete to the extent reasonably necessary to assure fairness when it is used to make a determination about them:
 - a. The PII collected for use in the system or project is NOT used to make adverse determinations about an individual’s rights, benefits, and privileges under federal programs.
 - b. The records maintained in the system or by the project are used to make adverse determinations and (*select one*) are are not exempt from the access provisions in the Privacy Act, 5 U.S.C. 552a(d).
 - c. Treasury has published regulations in place describing how individuals may seek access to and amendment of their records under the [Privacy Act](#). *The [Treasury/bureaus FOIA and Privacy Act disclosure regulations](#) can be found at 31 C.F.R. Part 1, Subtitle A, Subparts A and C.*
 - d. Individuals who provide their information directly to Treasury for use in the system or by the project are provided notice of the adverse determination and an opportunity to amend/correct/ update their information [*choose one*] before after it is used to make a final, adverse determination about them. This is accomplished by [*describe **here** how this process works and the protections in place, including redress/appeals processes; if notice is provided **after** an adverse determination is made, explain **here** why notice could not be provided **before** a determination was made, and the protections in place*]: Descriptions.
 - e. Individuals who provide their information directly to Treasury for use in the system or by the project are expressly told at the point where the information is collected that they need to keep their information accurate, current and complete because it could be used to make adverse determinations about them. This is

accomplished by: *Employees or prospective employees who accept Treasury offers of employment submit the information necessary to process background clearances. The applicant is responsible for ensuring that all application information provided is factually correct, in the format requested. The collected data is verified for accuracy, relevancy, and completeness by the applicants who submit their information. Failure by the applicant to provide frank, truthful, and complete information on the forms used in the investigative process, or to a government official involved in the investigative and/or adjudicative process may result in an adverse determination.*

- f. All manual PII data entry by federal employees/contractors is verified by a supervisor or other data entry personnel before it is uploaded to the system (e.g., PII entered into the system from paper records is double-checked by someone else before it's uploaded to the system). This is accomplished by: [describe here how this process works].
- g. Other: [please describe here].

2. Technical controls. The system or project also includes additional technical controls to ensure that PII is maintained with such accuracy, relevance, timeliness and completeness as is reasonably necessary to assure fairness to the individual when it is used to make a determination about them. The following additional protections are relevant to this system or project

- a. No additional technical controls are available to ensure accuracy, relevance, timeliness and completeness.
- b. Automated data feeds are used to refresh/update the information in the system (where the system is reliant on updates from another system).
Information in HRConnect is collected directly from the individual, thus assuring a higher degree of accuracy. The individual is notified of any changes to their personnel record through the mechanisms established within HRConnect.
- c. Technical and/or administrative controls put are in place to ensure that when information about an individual is acquired from multiple sources for maintenance in a single file about a particular individual, it all relates to the same individual. This is accomplished by: [describe here the method or process used to ensure that information merged about an individual from multiple sources for inclusion in a single file, all relates to the same person].
- d. Address verification and correction software (software that validates, updates and standardizes the postal addresses in a database).
- e. Other *If an individual is denied a clearance and/or employment with Treasury based on a negative background or clearance investigation, they may generally appeal that determination. The appeal process is conducted outside of the OSP Tracker. Typically, a letter is sent to the individual advising them of the reasons for the adverse action, how they can obtain the materials/information used by OSP to arrive at that adverse action, and how to appeal the decision. Appeals made under E.O. 12968 are conducted by the Deputy Assistant Secretary for Security and Counterintelligence. Appeals made under 5 C.F.R. 731 are referred to the Merit Systems Protection Board.*

Section 4.2 Data-Mining

As required by Section 804 of the [Implementing Recommendation of the 9/11 Commission Act of 2007](#) (“9-11 Commission Act”), Treasury reports annually to Congress on its data mining activities. For a comprehensive overview of Treasury’s data mining activities, please review the Department’s Annual Privacy Act and Data Mining reports available at: <http://www.treasury.gov/privacy/annual-reports>.

Section 4.2(a) Is the PII maintained in the system used to conduct data-mining?

1. The information maintained in *OSP Tracker* ***is not*** used to conduct “data-mining” activities as that term is defined in the [9-11 Commission Act](#). Therefore, no privacy or civil liberties issues were identified in responding to this question.
2. The information maintained in this system or by this project ***is*** used to conduct “data-mining” activities as that term is defined in the [9-11 Commission Act](#). This system is included in Treasury’s annual report to Congress which can be found on the external Treasury privacy website.
3. The information maintained in this system or by this project ***is*** used to conduct “data-mining” activities as that term is defined in the [9-11 Commission Act](#), but this system is not included in Treasury’s annual report to Congress which can be found on the external Treasury privacy website. This system will be added to the next Treasury Data-mining report to Congress.

Section 4.3 Computer Matching

The Computer Matching and Privacy Protection Act (CMPPA) of 1988 amended the Privacy Act by imposing additional requirements when Privacy Act systems of records are used in computer matching programs.

Pursuant to the CMPPA, there are two distinct types of matching programs. The first type of matching program involves the computerized comparison of two or more automated federal personnel or payroll systems of records or a system of federal personnel or payroll records with non-federal records. This type of matching program may be conducted for any purpose. The second type of matching program involves the computerized comparison of two or more automated systems of records or a system of records with non-federal records. The purpose of this type of matching program must be for the purpose of eligibility determinations or compliance requirements for applicants, recipients, beneficiaries, participants, or providers of services for payments or in-kind assistance under federal benefit programs, or recouping payments or delinquent debts under such federal benefit programs. *See* 5 U.S.C. § 522a(a)(8). Matching programs must be conducted pursuant to a matching agreement between the source (the agency providing the records) and recipient agency (the agency that receives and uses the records to make determinations). The matching agreement describes the purpose and procedures of the matching **and** establishes protections for matching records.

Section 4.3(a) Records in the system used in a computer matching program

1. The PII maintained in the system or by the project ***is not*** part of a Privacy Act system of records.
2. The information maintained in *OSP Tracker* ***is*** part of a Privacy Act system of records, but ***is not*** used as part of a matching program.
3. The information maintained in the system or by the project ***is*** part of a Privacy Act system of records and ***is*** used as part of a matching program. [*If whether a Matching Agreement was executed and published as required by the CMPPA/Privacy Act; if no Matching Agreement was executed, please explain here why*]: Explain here.

Section 4.3(b) Is there a matching agreement?

1. N/A
2. There is a matching agreement in place that contains the information required by Section (o) of the [Privacy Act](#).
3. There is a matching agreement in place, but it does not contain all of the information required by Section (o) of the [Privacy Act](#). The following actions are underway to amend the agreement to ensure that it is compliant.

Section 4.3(c) What procedures are followed before adverse action is taken against an individual who is the subject of a matching agreement search?

1. N/A
2. The bureau or office that owns the system or project conducted an assessment regarding the accuracy of the records that are used in the matching program and the following additional protections were put in place:
 - a. The results of that assessment were independently verified by [*explain how and by whom accuracy is independently verified; include the general activities involved in the verification process*].
 - b. Before any information subject to the matching agreement is used to suspend, terminate, reduce, or make a final denial of any financial assistance or payment under a Federal benefit program to an individual:
 - i. The individual receives notice and an opportunity to contest the findings; **OR**
 - ii. The Data Integrity Board approves the proposed action with respect to the financial assistance or payment in accordance with Section (p) of the [Privacy Act](#) before taking adverse action against the individual.
3. No assessment was made regarding the accuracy of the records that are used in the matching program.

Section 4.4: Information sharing with external (i.e., outside Treasury) organizations and individuals

Section 4.4(a) PII shared with/disclosed to agencies, organizations or individuals outside Treasury

1. [PII](#) maintained in the system or by the project is ***not*** shared with agencies, organizations, or individuals external to Treasury.

2. PII maintained in the system or by the project is shared with the following agencies, organizations, or individuals external to Treasury: *[For each recipient, provide the following: (1) name of organization/type of individual; (2) the PII shared; (3) the purpose of the sharing; (4) identify any statutes that limit use or sharing of the information; (5) identify any applicable MOU].*
3. All external disclosures are authorized by the Privacy Act (including routine uses in the applicable SORN).

Section 4.4(b) Accounting of Disclosures

An accounting of disclosures is a log of all external (outside Treasury) disclosures of records made from a system of records that has not been exempted from this accounting requirement. This log must either be maintained regularly or be capable of assembly in a reasonable amount of time after an individual makes a request. Certain system of records may be exempted from releasing an accounting of disclosures (e.g., in law enforcement investigations). *Check toward the bottom of the SORN to see whether an exemption was claimed from 5 U.S.C. 552a(c). The NPRM and/or Final Rule for the system of records will explain why that exemption is appropriate.*

Section 4.4(c) Making the Accounting of Disclosures Available

1. The records are not maintained in a system of records subject to the Privacy Act so an accounting is not required.
2. No external disclosures are made from the system.
3. The Privacy Act system of records maintained in the system or by the project is exempt from the requirement to make the accounting available to the individual named in the record. Exemption from this requirement was claimed because: [please state here why the records in this system of records were exempted from this requirement].
4. The Privacy Act system of records maintained in *OSP Tracker* is not exempt from the requirement to make the accounting available to the individual named in the record and a log is maintained regularly. *The log is maintained for at least five years and includes the date, nature, and purpose of each disclosure (not including intra-agency disclosures and FOIA disclosures) of a record to any person or to another agency (outside of Treasury) and the name and address of the person or agency to whom the disclosure is made.*
5. The Privacy Act system of records maintained in the system or by the project is not exempt from the requirement to make the accounting available to the individual named in the record and a log is not maintained regularly, but is capable of being constructed in a reasonable amount of time upon request. The information necessary to reconstruct the log (i.e., date, nature, and purpose of each disclosure) is maintained for at least five years.

Section 4.4(d) Obtaining Consent Prior to New Disclosures Not Authorized by the Privacy Act

Records in a system of records subject to the Privacy Act may not be disclosed by "any means of communication to any person or to another agency" without the prior written request or consent of the individuals to whom the records pertain. 5 U.S.C. Sec. 552a(b). However, the Act also sets forth twelve exceptions to this general restriction. These 12 exceptions may be viewed at: <https://www.justice.gov/usam/eousa-resource-manual-139-routine-uses-and-exemptions>

Unless one of these 12 exceptions applies, the individual to whom a record pertains must provide their consent, where feasible and appropriate, before their records may be disclosed to anyone who is not listed in one of the 12 exceptions. One of these 12 exceptions also allows agencies to include in a notice published in the Federal Register, a list of routine uses. Routine uses are disclosures outside the agency that are compatible with the purpose for which the records were collected.

Section 4.4(e) Obtaining Prior Written Consent

1. The records maintained in the system of records are only shared in a manner consistent with one of the 12 exceptions in the Privacy Act, including the routine uses published in the Federal Register.
2. If a situation arises where disclosure (written, oral, electronic, or mechanical) must be made to anyone outside of Treasury who is not listed in one of the 12 exceptions in the Privacy Act (including the published routine uses), the individual's prior written consent will be obtained where feasible and appropriate.

Section 5: Compliance with federal information management requirements

Responses to the questions below address the practical, policy, and legal consequences of failing to comply with one or more of the following federal information management requirements (to the extent required) and how those risks were or are being mitigated: (1) the Privacy Act System of Records Notice Requirement; (2) the Paperwork Reduction Act; (3) the Federal Records Act; (4) the E-Gov Act security requirements; and (5) Section 508 of the Rehabilitation Act of 1973.

Section 5.1: The Paperwork Reduction Act

The PRA requires OMB approval before a Federal agency may collect standardized data from 10 or more respondents within a 12-month period. OMB also requires agencies to conduct a PIA (a Treasury PCLIA) when initiating, consistent with the PRA, a new electronic collection of PII for 10 or more persons (excluding agencies, instrumentalities, or employees of the federal government).

Section 5.1(a)

1. The system or project maintains information obtained from individuals and organizations who are not federal personnel or an agency of the federal government (i.e., outside the federal government)

2. The project or system involves a new collection of information in identifiable form for 10 or more persons from outside the federal government.
3. The project or system completed an Information Collection Request (“ICR”) and received OMB approval.
4. *OSP did not complete an Information Collection Request (“ICR”) and receive OMB approval because all information in OSP Tracker is transferred from HRConnect that already completed the ICR.*

Section 5.2: Records Management - NARA/Federal Records Act Requirements

Records retention schedules determine the maximum amount of time necessary to retain information in order to meet the needs of the project or system. Information is generally either disposed of or sent to the National Archives and Records Administration (NARA) for permanent retention upon expiration of this period. If the system has an applicable SORN(s), check the “Policies and Practices for Retention and Disposal of Records” section.

Section 5.2(a)

1. The records used in *OSP Tracker* are covered by a NARA’s General Records Schedule (GRS). The GRS is [5.6, item 190](#) *Security administrative records*.
2. The records used in the system or by the project are covered by a NARA approved Treasury bureau Specific Records Schedule (SRS).
3. On *[please state the date on which NARA approval was sought]* the system owner sought approval from NARA for an SRS and is awaiting a response from NARA. *[State here the retention periods you proposed to NARA]*.
4. The system owner is still in the process of developing a new records schedule to submit to NARA.

Section 5.3: E-Government Act/NIST Compliance

The completion of Federal Information Security Management Act (FISMA) Security Assessment & Authorization (SA&A) process is required before a federal information system may receive Authority to Operate (ATO).

Section 5.3(a)

1. *OSP Tracker* is a federal [information system](#) subject to FISMA requirements.
2. The system last completed an SA&A and received an ATO on: *The Treasury ServiceNow GSS system was last authorized to operate on March 19, 2020.*
3. This is a new system has not yet been authorized to operate.
4. *OSP Tracker* maintains access controls to ensure that access to PII maintained is limited to individuals who have a need to know the information in order to perform their official Treasury duties.
5. All Treasury/bureau security requirements are met when disclosing and transferring information (e.g., bulk transfer, direct access by recipient, portable disk, paper) from *OSP Tracker* to internal or external parties.
6. *OSP Tracker* maintains an audit log of system users to ensure they do not violate the system and/or Treasury/bureau rules of behavior.

7. This system or project has the capability to identify, locate, and monitor individuals or groups of people other than the monitoring of system users to ensure that they do not violate the system's rules of behavior. *[If checked, please describe this capability here, including safeguards put in place to ensure the protection of privacy and civil liberties.]*

Section 5.4: Section 508 of the Rehabilitation Act of 1973

When Federal agencies develop, procure, maintain, or use Electronic and Information Technology (EIT), [Section 508 of the Rehabilitation Act of 1973](#) (as amended in 1998) requires that individuals with disabilities (including federal employees) must have access and use (including privacy policies and directives as well as redress opportunities) that is comparable to that which is available to individuals who do not have disabilities.

Section 5.4(a)

1. The project or system will ***not*** involve the development, procurement, maintenance or use of EIT as that term is defined in [Section 508 of the Rehabilitation Act of 1973](#) (as amended in 1998)?
2. *OSP Tracker* ***will*** involve the development, procurement, maintenance or use of EIT as that term is defined in [Section 508 of the Rehabilitation Act of 1973](#) (as amended in 1998)? :
3. *OSP Tracker* complies with all [Section 508](#) requirements, thus ensuring that individuals with disabilities (including federal employees) have access and use (including access to privacy and civil liberties policies) that is comparable to that which is available to individuals who do not have disabilities.
4. The system or project is not in compliance with all [Section 508](#) requirements. The following actions are in progress to ensure compliance: [please describe here the efforts underway to ensure compliance].

Responsible Officials

Approval Signature

Timothy H. Skinner

Bureau Privacy and Civil Liberties Officer
Departmental Office, & Records