DEFENSE FINANCE AND ACCOUNTING SERVICE

Computerized Accounts Payable System - Windows

Unique Project (Investment) Identifier
007-97-01-01-02-0455-00

PRIVACY IMPACT ASSESSMENT (PIA)

Point of Contact

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DFAS-DT/HQ

PREPARED BY

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Chief, Army Vendor Pay and Transportation System
317-510-7710

November / 2008

PRIVACY IMPACT ASSESSMENT

1. **Department of Defense Component.** Defense Finance and Accounting Service

2. **System Title.** Computerized Accounts Payable System – Windows (CAPS-W)

3. **Budget System Identification Number.** 0455

4. **System Identification Number(s) (IT Registry/Defense IT Portfolio Repository (DITPR)).** 3115

5. **IT Investment (OMB Circular A-11) Unique Identifier (if applicable).** 007-97-01-01-02-0455-00

6. **Privacy Act System of Records Notice Identifier (if applicable).** T-7225a

7. **OMB Information Collection Requirement Number (if applicable) and Expiration Date.** N/A

8. **Type of authority to collect information (statutory or otherwise).**

   5 U.S.C. 301, Departmental Regulations, Department of Defense Financial Management Regulation (DoDFMR) 7000.14R, Vol. 10; 31 U.S.C. Sections 3512 and 3513; and E.O. 9397 (SSN).

9. **Provide a brief summary or overview of the IT system (activity/purpose, present life cycle phase, system owner, system boundaries and interconnections, location of system and components, and system backup).**

   a. **Activity/Purpose.**
   This system is used to automate manual functions in the accounts payable offices such as: automatically suspense commercial payments and follow up letters, provide payment computations, produce vouchers and management reports, compute the payment due date, interest penalties and determine lost discounts, allow for entry and processing of purchase rates, purchase orders/contracts, and to determine foreign currency rates, and maintain the electronic funds transfer information for vendors whose contracts specify this type of payment.

   b. **Present Life Cycle Phase.**
   Operations & Support

   c. **System Owner.**
   Defense Finance and Accounting Service

d. **System boundaries and interconnections.**
Web Invoicing System (WINS)
Corporate Electronic Funds Transfer (CEFT) Database
Operational Data Store (ODS)
Standard Finance System Redesign, Sub System-1 (SRD-1)
Defense Travel System (DTS)
Wide Area Workflow (WAWF)
Internal Revenue Service (IRS)

e. **System Location and Components.**
DFAS-Indianapolis

e. **System Backup.**
Recall Total Management, Indianapolis IN

10. **Describe what information in identifiable form will be collected and the nature and source of the information (e.g., names, Social Security Numbers, gender, race, other component IT systems, IT systems from agencies outside DoD, etc.)**

a. **Information in Identifiable Form.**

Individual name, Social Security Number (SSN), tax identification number.

b. **DFAS IT systems.**

Operation Data Store (ODS), Standard Finance System – Redesign I (SRD I)

c. **DoD Component IT systems.**

Defense Travel System (DTS) and Corporate Electronic Funds Transfer (CEFT) Database

d. **IT systems from agencies outside DoD.**

Internal Revenue Service (IRS)

11. **Describe how the information will be collected (e.g. via the Web, via paper-based collection, etc.)**
CAPS-W does not collect information directly. Information will be received through electronic interface with other DFAS systems.

12. **Describe the requirement and why the information in identifiable form is to be collected (e.g., to discharge a statutory mandate, to execute a Component program, etc.)**
Information is necessary to generate payments to individuals based upon system edits.

13. **Describe how the information in identifiable form will be used (e.g., to verify existing data, etc.)**

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, these records or information contained therein may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows:

(a) To Federal Reserve banks to distribute payments made through the direct deposit to financial organizations or their processing agents authorized by individuals to receive and deposit payments in their accounts.

(b) To the U.S. Department of Treasury (DOT) to validate and make payments on public vouchers submitted for purchases and services.

14. **Describe whether the system derives or creates new data about individuals through aggregation.**

System receives data via CEFT and does not derive or create new data.

15. **Describe with whom the information in identifiable form will be shared, both within the Component and outside the Component (e.g., other DoD Components, Federal agencies, etc.)**

The information will be shared with the Army, Navy, Air Force and Marine Corps, and other DoD Components who have a need-to-know this information in the performance of their mission.

In addition, to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, these records or information contained therein may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows:

(a) To Federal Reserve banks to distribute payments made through the direct deposit to financial organizations or their processing agents authorized by individuals to receive and deposit payments in their accounts.

(b) To the U.S. Department of Treasury (DOT) to validate and make payments on public vouchers submitted for purchases and services.

The DoD 'Blanket Routine Uses' apply to this system of records.

16. **Describe any opportunities individuals will have to object to the collection of information in identifiable form about themselves or to consent to the specific uses of the information in identifiable form. Where consent is to be obtained, describe the process regarding how the individual is to grant consent.**

DFAS entitlement systems collect the data and a Privacy Act Statement is provided when the personal data is collected. The individuals are informed in the statement that providing the data is voluntary, and it allows the individuals the opportunity to object to collection of information.

17. **Describe any information that is provided to an individual, and the format of such information (Privacy Act Statement, Privacy Advisory) as well as the means of**

delivery (e.g., written, electronic, etc.), regarding the determination to collect the information in identifiable form.

The DFAS entitlement system collects the personal data from hardcopy and electronic forms that provide Privacy Act statements.

18. **Describe the administrative/business, physical, and technical processes and controls adopted to secure, protect, and preserve the confidentiality of the information in identifiable form.**

Records are maintained in a controlled facility. Physical entry is restricted by the use of locks, guards, and is accessible only to authorized personnel. Access to records is limited to person(s) responsible for servicing the record in performance of their official duties, and who properly screened and cleared for a need-to-know. Passwords and digital signatures are used to control access to the system data, and procedures are in place to deter and detect browsing and unauthorized access.

19. **Identify whether the IT system or collection of information will require a System of Records (SOR) notice as defined by the Privacy Act of 1974, and as implemented by DoD Directive 5400.11-R, "DoD Privacy Program," November 11, 2004. If so, and a SOR notice has been published in the Federal Register, the Privacy Act System of Records Identifier must be listed in question 6 above. If not yet published, state when publication of the Notice will occur.**

A Privacy Act systems notice has been published in the Federal Register (November 14, 2007, 72 FR 64057).

20. **a. Describe/evaluate the potential privacy risks regarding the collection, use, and sharing of the information in identifiable form.** Potential privacy risks have been mitigated by administrative, technical and physical safeguards.

b. Describe/evaluate any privacy risks in providing individuals an opportunity to object/consent or in notifying individuals. Payments cannot be made without the collection of the SSN or Tax Identification Number (TIN) as this is a US Treasury requirement to provide the SSN or tax TIN number when reporting the payments to the IRS.

c. Describe/evaluate further any risks posed by the adopted security measures. There are no identified risks posed by the adopted security measures at this time. Security controls are reviewed annually and the system is recertified and reaccredited at least every three years. Risks are evaluated and mitigated whenever they are discovered or identified.

21. **State classification of information/system and whether the PIA should be published or not. If not, provide rationale. If a PIA is planned for publication, state whether it will be published in full or summary form.**
Data is classified as sensitive; PIA should be published in full form.

SIGNATURE PAGE - Computerized Accounts Payable System - Windows

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