

SMALL BUSINESS ADMINISTRATION EAGAN MAINFRAME
PRIVACY IMPACT ASSESSMENT

Name of Project: Eagan Mainframe

Project's Unique ID:

Once the PIA is completed and the signature approval page is signed, please provide copies of the PIA to the following:

- SBA IT Security Manager
- SBA OCIO IT Portfolio Division
- SBA Privacy Act Officer

Do not email the approved PIA directly to the Office of Management and Budget email address identified on the Exhibit 300 form. One transmission will be sent by the OCIO Portfolio Management Division

Also refer to the signature approval page at the end of this document.

A. CONTACT INFORMATION:

1) Who is the person completing this document?

Austin Porter, IT Specialist
(202) 205-7166
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2) Who is the System Owner?

(1) Christine Liu, Chief Information Officer

3) Who is the System Manager for this system or application?

(1) Office of Information Systems Support (Ronald D. Whalen, OCIO)

4) Who is the IT Security Manager who reviewed this document?

David L. McCauley

5) Who is the Bureau/Office Privacy Act Officer who reviewed this document?

Ethel Matthews

6) **Who is the Reviewing Official?** (According to OMB, this the agency CIO or other agency head designee who is other than the official procuring the system or the official who conducts the PIA).

Christine H. Liu

B. PIA PROCESS APPLICATION/GENERAL INFORMATION:

1) Does this system contain any information about individuals? No

The current Unisys 2200 OS environment is located at Eagan Service Center, Eagan MN and current applications technical support is located at the central SBA office in Washington DC. The system is a General Support System and itself does not collect any information. The system serves as a platform for various major legacy applications to serve the Agency's customers. SBA depends on these sub-systems running on the Unisys Mainframe to support administrative activities; loan origination and servicing (to include collection, litigation, and collateral preservation) activities for both direct and guaranteed loans; and SBA loan accounting activities, including: direct and guaranty accounting, disbursement, repayment and debt collection. The Mainframe provides computer-processing capability for those major applications; however, does not contain any personally identifiable information (PII). The collection, processing and dissemination of PII are solely governed by the individual SBA programs and are discussed in the PIAs for those legacy applications serving SBA programs. Please refer to the PIAs for the specific SBA programs you are interested in to learn what PII that program collects

The Eagan Service Center (ESC) is SAS 70 certified. The Statement on Auditing Standards (SAS) No. 70 certified, *Service Organizations*, is an internationally recognized auditing standard developed by the American Institute of Certified Public Accountants (AICPA). A SAS 70 audit or service auditor's examination is widely recognized, because it represents that a service organization has been through an in-depth audit of their control activities, which generally include controls over information technology and related processes.

In addition, the ESC site is adequately protected with a variety of security features, including 24/7 video monitoring, 24/7 staffed guard desks, and security passes that restrict personnel access to only those areas described in the employees' personal profile. No individuals have access to SBA-leased equipment except those individuals working on the Task Order working on the GSA Federal Data Center Acquisitions contract.

a. Is this information identifiable to the individual!?

N/A

b. Is the information about individual members of the public?'

N/A

c. Is the information about employees?

N/A

2) What is the purpose of the Mainframe?

The system serves as a platform for various major legacy applications to serve the Agency's customers. SBA depends on these sub-systems running on the Unisys Mainframe to support administrative activities; loan origination and servicing (to include collection, litigation, and collateral preservation) activities for both direct and guaranteed loans; and SBA loan accounting activities, including: direct and guaranty accounting, disbursement, repayment and debt collection.

3) What legal authority authorizes the purchase or development of this PIA?

N/A

C. DATA in the PROCESS:

1) What personally identifiable information will be collected?

The Mainframe does not contain any personally identifiable information (PII).

Why is this personally identifiable information being collected?

N/A

2) Accuracy, Timeliness, and Reliability

a. How will data collected from sources other than SBA records be verified for accuracy?

N/A

b. How will data be checked for completeness?

N/A.

c. Is the Data Current? What steps or procedures are taken to ensure the data is current and not out-of-date? Name the document (e.g., data models)

N/A

- d. Are the data elements described in detail and documented? If Yes,
What is the name of the document?**

N/A

D. ATTRIBUTES OF THE DATA

- 1) Is the use of the data both relevant and necessary to the purpose for which the process is being designed?**

N/A

- 2) Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected, and how will this be maintained and filed?**

N/A

- 3) Will the new data be placed in the individual's record?**

N/A

- 4) Can the system make determinations about employees/public that would not be possible without the new data?**

N/A

- 5) How will the new data be verified for relevance and accuracy?**

N/A

- 6) If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?**

N/A

- 7) If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access through the process? Explain.**

N/A

- 8) **How will the data be retrieved? Does a personal identifier retrieve the data? If yes, explain and list the identifiers that will be used to retrieve information on the individual.**

N/A

- 9) **What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?**

N/A

- 10) **What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how individuals can grant consent.)**

N/A

E. MAINTENANCE AND ADMINISTRATIVE CONTROLS

- 1) **If the information in the process operated in more than one site, how will consistent use of the data be maintained in all sites?**

N/A

- 2) **What are the retention periods of data in the system?**

N/A

- 3) **What are the procedures for disposition of the data at the end of the retention period? How long will the reports produced be kept? Where are the procedures documented?**

N/A

- 4) **Are the systems in the process using technologies in ways that the SBA has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?**

N/A

- 5) **How does the use of this technology affect public/employee privacy?**

N/A

- 6) **Will this system in the process provide the capability to identify, locate, and monitor individuals? If yes, explain**
- N/A
- 7) **What kinds of information are collected as a function of the monitoring of individuals?**
- N/A
- 8) **What controls will be used to prevent unauthorized monitoring?**
- N/A
- 9) **Under which Privacy Act systems of records notice does the system operate? Provide number and name**
- N/A
- 10) **If the system is being modified, will the Privacy Act Systems of records notice require amendment or revision? Explain.**
- N/A

F ACCESS TO DATA:

- 1) **Who will have access to the data in the System? (e.g. contractors, users, managers, system administrators, developers, tribes, other)**
- N/A
- 2) **How is access to the data by a user determined? Are criteria, procedures, controls and responsibilities regarding access documented?**
- N/A
- 3) **Will users have access to all data on the system or will the user's access be restricted? Explain**
- N/A
- 4) **What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?**
- N/A

5) **Are contractors involved with the design and development of the: system and will they be involved with the maintenance of the system? If yes, were Privacy Act contract clauses inserted in their contracts and other regulatory measures addressed?**

N/A

6) **Do other systems share data or have access to the data in the system? If yes, explain.**

N/A

7) **Who will be responsible for protecting the privacy rights of the public and employees affected by the interface?**

N/A

8) **Will other agencies share data or have access to the data in this: system?**

N/A

9) **How will the data be used by the other agency?**

N/A

10) **Who is responsible for assuring proper use of the data?**

N/A

See Attached Approval Page

