

Privacy Threshold Analysis (PTA)
and/or Privacy Impact Assessment (PIA)

for

Translations / Transcreation, & Interpretation Services II

Human Touch Translations, LTD.

(RECVR-14-G-0507)



Date Approved by Chief Privacy Officer (CPO)/Designee: 5/10/2017

SECTION I – OUTSOURCED INFORMATION SERVICE DESCRIPTION

1. Describe the outsourced service and its purpose.

The Federal Deposit Insurance Corporation (FDIC) is an independent federal agency that was created by Congress in 1933. The FDIC's mission is to maintain the stability of and public confidence in the nation's banking system. The FDIC achieves its mission by insuring deposits in banks and thrift institutions and promoting safe and sound banking practices. When an insured institution fails, the FDIC is appointed as Receiver. In this capacity, a variety of documents may be required. In order to accomplish its mission, the FDIC communicates with the public on an on-going basis through various media, including telephonic, and using other written materials requiring clear official banking/financial/employee benefit terminology. Some examples are as follows:

- Question and Answer Guides: These are provided to customers and posted on the FDIC website. They explain the most important items for customers and vary depending on the transaction.
- Press Releases: These are provided to the media and outline the transaction and impact on customers.
- Claims Notices/Letters: These notices are published in order to alert anyone with a claim against the institution. They may also be sent to claimants outlining the process they need to follow.
- Employee Benefit Documents: These are provided to employees to advise them of their benefits and any changes to existing plans, along with any options available to them.
- Borrower Letters: These are provided to borrowers and outline the status of their loan and instructions on how to proceed.

The FDIC must also read and interpret/translate/transcreate the contents of vital documentation that is of foreign origin and comes from failed/failing banks within the nation's banking system in various languages. For purposes of Spanish written documents, the use of Universal Spanish is preferred due to the wide range of potential audiences. FDIC DRR has contracted the services of Human Touch Translations, LTD. (Human) to provide their translations, transcreation, and interpretation services to accomplish the goals of the FDIC. These translation, transcreation, and interpretation services are typically used to translate documents from English to another language or from another language to English.

SECTION II – DATA TYPE, SOURCES, AND USE

2. Describe all information/data that will be collected, used, maintained or generated by the Outsourced Provider (Vendor) as part of the services provided under the contract. If no information/data is involved, select Not Applicable.

Human receives FDIC translation package(s) from the FDIC Oversight Manager (OM) via the FDIC Secure Email Service. The translation package(s) may include vital documentation (i.e. court documents) from the failed FI that requires translations, transcreation, or interpretation by Human to accomplish the goals of the FDIC. The documentation attached in the translation package may include Full Name, Date of Birth, Place of Birth, Social Security Number, Employment Status, History or Information, Mother's Maiden Name, Certificates (e.g., birth, death, naturalization, marriage, etc.), Medical Information (Medical Records Numbers, Medical Notes, or X-rays), Home Address, Phone Number(s) (non-work), Email Address (non-work), Employee Identification Number (EIN) ,

Financial Information (e.g., checking account #/PINs/passwords, credit report, etc.), Driver’s License/State Identification Number, Vehicle Identifiers (e.g., license plates), Legal Documents, Records, or Notes (e.g., divorce decree, criminal records, etc.), Education Records, Criminal Information, Military Status and/or Records, Investigation Report or Database, Biometric Identifiers (e.g., fingerprint, voiceprint), Photographic Identifiers (e.g., image, x-ray, video). Once the translation package(s) are completed, Human returns the completed packages back to the FDIC via the FDIC Secure Email Service. Human stores the translation package(s) on their dedicated Microsoft SharePoint site; which is backed up to Amazon Web Services (AWS) servers.

3. Describe the intended purpose and use of the above information/data. If no information/data is involved, select Not Applicable.

Human provides DRR with translation, transcreation and interpretation services for the FDIC. All work assignments are delegated by the OM. The translation package(s) from the FDIC and the completed translation package(s) provided by Human are transmitted via the FDIC’s Secure Email Service. Human services provide the FDIC the ability to read, interpret and translate the contents of vital documentation (i.e. court documents) that is of foreign origin and comes from failed FIs within the nation's banking system in various languages. For purposes of Spanish written documents, the use of universal Spanish is preferred due to the wide range of potential audiences.

4. What types of personally identifiable information (PII) are (or may be) included in the information specified above? *(This is not intended to be an all-inclusive list. Specify other categories of PII, as needed.)*:

PII Element	Yes	No
Full Name	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Date of Birth	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Place of Birth	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social Security Number	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Employment Status, History or Information	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mother’s Maiden Name	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Certificates (e.g., birth, death, naturalization, marriage, etc.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Medical Information (Medical Records Numbers, Medical Notes, or X-rays)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Home Address	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Phone Number(s) (non-work)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Email Address (non-work)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Employee Identification Number (EIN)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Financial Information (e.g., checking account #/PINs/passwords, credit report, etc.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Driver’s License/State Identification Number	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Vehicle Identifiers (e.g., license plates)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Legal Documents, Records, or Notes (e.g., divorce decree, criminal records, etc.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Education Records	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Criminal Information	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Military Status and/or Records	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Investigation Report or Database	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Biometric Identifiers (e.g., fingerprint, voiceprint)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Photographic Identifiers (e.g., image, x-ray, video)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other (Specify: _____)	<input type="checkbox"/>	<input checked="" type="checkbox"/>

5. If Social Security Number (SSN) is checked in question 4, please answer the following:

a) Explain the business purpose requiring the collection of SSNs:

The documents for translation may contain SSNs. The collection and maintenance of SSNs is incidental to the translation of documents provided by the FDIC and/or failed FI to Human, and is not required for the scope of work being conducted. There is no contractual limit on the type of data that could potentially require translating

b) Provide the legal authority which permits the collection of SSNs.

The collection and maintenance of SSNs is incidental to the translation of documents, and is not required for the scope of work being conducted.

Sections 9, 11, and 13 of the Federal Deposit Insurance Act (12 U.S.C. 1819, 1821, and 1823) and applicable State laws provide the legal authority governing the liquidation of assets and wind-up of the affairs of failed financial institutions.

c) Identify whether the SSN is masked or otherwise truncated within the system:

The SSNs contained on documents provided to Human for translation may or may not be masked or truncated. As noted earlier, the collection and maintenance of any SSNs is incidental to the translation of documents by Human.

6a. Please provide an estimate of the number of records maintained by the vendor for this contract that contain PII:

Estimated Number of Records Containing PII				
0 <input type="checkbox"/>	1-500 <input checked="" type="checkbox"/>	501-1,000 <input type="checkbox"/>	1,001 - 2,500 <input type="checkbox"/>	2,501 - 5,000 <input type="checkbox"/>
5,001 - 7,500 <input type="checkbox"/>	7,501 - 10,000 <input type="checkbox"/>	10,001 - 50,000 <input type="checkbox"/>	50,001 - 100,000 <input type="checkbox"/>	over 100,000 <input type="checkbox"/>

6b. If “0” was answered for 6a, please explain¹: N/A

7. What are the sources of data (both PII and non-PII) for the outsourced service/project? How is the data derived?

Data Source ² (List all sources that the Outsourced Provider collects, obtains or receives data from, as part of the services provided under the contract.)	Type of Data Provided by Source & How It is Derived (Describe the type of PII and non-PII data provided by each source. If PII is included in the data, list the specific PII elements, and explain how the PII is derived.)	Does Data Include PII?
FDIC DRR	Human receives FDIC translation package(s) via the FDIC Secure Email Service. The translation package(s) may include vital documentation (i.e. court documents) from the failed FI that requires translations, transcreation or interpretation by Human to accomplish the goals of the FDIC. The documentation attached in the translation package may include PII elements listed in Question 4. Human stores the translation package(s) on their dedicated Microsoft SharePoint site; which is backed up to Amazon Web Services (AWS) servers.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

¹ If the vendor has not received work to date for this contract and “0” is checked in 6a, please explain approximately how many records may be maintained by the vendor if they are awarded work under this contract in the future. Additionally, the Division responsible for this vendor must update this PIA to reflect the accurate number of records containing PII that the vendor maintains if this changes in the future.

² Examples of potential data sources include, but are not limited to: internal (FDIC) or external (non-FDIC) systems, websites, individual members of the public (e.g., customers, borrowers, etc.), FDIC employees, FDIC contractors, credit bureaus, commercial entities, public records, government agencies, etc.

8. How will FDIC and/or the Outsourced Service Provider retrieve data or records as part of the outsourced service or project? Can data be retrieved using a personal identifier (e.g., name, address, SSN, EIN, or other unique identifier)?

No, Work assignments are downloaded from the FDIC Secure Email Service and directly uploaded to the respective SharePoint folder. Authorized Human personnel can search work assignments and completed translation packages on the SharePoint by the file name assigned by Human. Data will not be retrieved using personal identifiers.

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

Though not currently required, if in the future the nature of the work performed by Human changes, the applicable SORN that Human would operate under is 30-64-0013, *Insured Financial Institution Liquidation Records*.



This completes the PTA.

- Do not complete the rest of the form, if the service provider is not processing or maintaining sensitive PII. This is the case, if you checked:
 - NOT APPLICABLE for question 3 and NO for all items in question 4; OR
 - Only Full Name in question 4.
- Continue completing the remainder of the form, i.e., Sections III thru VI in their entirety (questions 10 through 18), if the service provider is processing or maintaining sensitive PII. This is the case, if you checked:
 - YES for Social Security Number (SSN) in question 4; OR
 - YES for SSN or for Full Name in addition to one or more boxes in question 4.
- If you have questions or are unsure about whether or not you should complete the remainder of this form, please contact your Division ISM or the Privacy Program Office (privacy@fdic.gov).

SECTION III – DATA ACCESS AND SHARING

10. In the table below, specify the systems/applications and parties (FDIC and non-FDIC) that will access or receive PII data as part of the outsourced service/project. (Check “No” or “Yes” for each category. For each category checked “Yes,” specify who will have access to, be provided with, or maintain the PII, what PII elements will be accessed/shared/maintained by them, how the access or sharing will occur, and the purpose and use of this PII.)

PII Will Be Accessed By and/or Provided To:	Yes	No	If Yes, Explain How and Why the PII Will Be Accessed/Shared
10a. FDIC Outsourced Service Provider (OSP) Staff; OSP Subcontractors; and/or OSP Systems	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Authorized Human Touch personnel performing the work on behalf of the FDIC receive FDIC translation package(s) from the FDIC OM via the FDIC Secure Email Service. The translation package(s) may contain vital documentation (i.e. court documents) from the failed FI, which may contain PII as specified in Question 4. The translation package(s) require translation, transcreation, or interpretation by Human to accomplish the goals of the FDIC. Once the translation package(s) are completed, Human returns the completed packages back to the FDIC via the FDIC Secure Email Service. Human stores the translation package(s) on their dedicated Microsoft SharePoint; which is backed up to Amazon Web Services (AWS) servers.</p> <p>Human utilizes the service of a Linguist subcontractor, based out of Atlanta, GA, to perform translation, transcreation, and interpretation services. Human emails the Linguist via secure email, to access the translation package(s), contractual agreement(s), and confidentiality agreement(s) in order to perform their services. These contractual agreement(s) and confidentiality agreement(s) contain the Linguist’s full name. Once the Linguist has completed the translation package(s), contractual agreement(s), and confidentiality agreement(s), the Linguist will send the documentation back to Human via secure email. Human returns the completed translations package(s), contractual agreement(s), and confidentiality agreement(s) back to the FDIC via the FDIC Secure Email Service.</p>
10b. FDIC Personnel and/or FDIC Systems/Applications	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Translation package(s) provided to and completed translation package(s) received from Human are primarily maintained on a secure FDIC/DRR SharePoint site for DRR to either use internally (such as a legal document) or distribute (such as a mass mailing). Human may work with the FDIC OM on the review and approval of the completed translation package(s) via the FDIC Secure Email Service. The translation packages may contain PII as specified in Question 4.
10c. Individual Members of the Public (e.g., bidders, investors, borrowers, customers, etc.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	N/A
10d. Other Non-FDIC Entities/ Parties and/or Non-FDIC Systems/Applications	<input type="checkbox"/>	<input checked="" type="checkbox"/>	N/A
10e. Federal, State,	<input type="checkbox"/>	<input checked="" type="checkbox"/>	N/A

and/or Local Agencies			
10f. Other	<input type="checkbox"/>	<input checked="" type="checkbox"/>	N/A

11. If data will be provided to, shared with, or maintained by non-FDIC entities (such as government agencies, contractors, or Outsourced Information Service Providers), have any of the following agreements been issued?

Data Protection and/or Sharing Agreements	Yes	No
FDIC Confidentiality Agreement (Corporation)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
FDIC Confidentiality Agreement (Individual)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Non-Disclosure Agreement (NDA)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Memoranda of Understanding (MOU)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Information Sharing Agreements (ISA)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Authentication Risk Assessment	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Applicable Agreement(s) (Specify: _____)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<p>If you answered NO to any item above, please provide additional information if available:</p> <p>Human Touch Translations is an outsourced service provider and therefore is not subject to MOUs or ISAs.</p>		

SECTION IV – NOTICE AND CONSENT

12. Do individuals have the opportunity to decline to provide information or to consent to particular uses of their information (other than required or authorized uses)?

No. Individuals do not have the opportunity to “opt out” of providing their data and/or consenting to particular uses of their information. ***(Explain why individuals are not able to opt out (either for specific data elements or specific uses of their data.):***

Yes. Individuals have the opportunity to decline to provide their personal data or to consent to particular uses of their information. ***(Explain how individuals may decline or consent to the use of their information.):***

Not applicable. Information is not collected directly from individuals.

13. If PII is being collected via a public-facing website and/or application as part of this outsourced service, has the Outsourced Information Service Provider posted any of the following types of privacy policies or Privacy Act notices?

No

Yes *(If yes, check applicable box(es) below.)*

Link to FDIC Privacy Policy

FDIC Privacy Act Statement

Contractor Privacy Policy or Statement

No Privacy Policy has been posted

Not applicable

SECTION V – DATA SECURITY AND ACCURACY

14. Please assert what administrative procedures and technical safeguards are in place to protect sensitive PII data in the Outsourced Information Service Provider's care. [Provide the name of the Outsourced Service Provider and check all applicable box(es).]

Human Touch Translations has gone through the security review required by the FDIC's Outsourced Information Service Provider Assessment Methodology to determine and/or verify their having appropriate physical, technical and administrative security measures to safeguard FDIC-provided PII and other sensitive data. If it has gone through the Methodology, has it been approved? NO YES

The FDIC conducts background investigations (BIs) on key Human Touch Translations personnel and other applicable personnel prior to their beginning work on the contract.

Human Touch Translations is subject to periodic compliance reviews by FDIC. Per the contract, scheduled and unannounced inspections and assessments of the Outsource Service Provider's facilities, personnel, hardware, software and its security and privacy practices by either the FDIC information technology staff, the FDIC Inspector General, or the U.S. General Accountability Office (GAO). These inspections may be conducted either by phone, electronically or in-person, on both a pre-award basis and throughout the term of the contract or task order, to ensure and verify compliance with FDIC IT security and privacy requirements.

Other (Explain any other administrative and/or technical safeguards in place to protect PII data in the Outsourced Information Service Provider's care.) ***Attach the Contract Clause Verification Checklist to the back of this form.***

15. What are the procedure(s) for ensuring that the information maintained is accurate, complete and up-to-date? [Check all applicable box(es) and insert the appropriate response and System/Project name.]

Data is collected directly from the failed financial institutions and FDIC/DRR staff. As such, the FDIC and its vendors rely on the financial institutions and DRR staff to provide accurate data.

The vendor/contractor works with FDIC to verify the integrity of the data before inputting it into the system or using it to support the project.

As necessary, Human Touch Translations' President checks the data for completeness by reviewing the information, verifying whether or not certain documents or data is missing, and as feasible, updating this data when required.

Other (*Please explain.*)

16. In terms of assuring proper use of the data, please assert whether the following statements are true for the Outsourced Information Service Provider. (Check all applicable box(es) and insert the name of the Outsourced Information Service Provider and title of the firm's senior management official.)

Within FDIC, Human Touch Translations Program Manager/Data Owner, Technical Monitors, Oversight Manager, and Information Security Manager (ISM) are collectively responsible for assuring proper use of the data. In addition, it is every FDIC user's responsibility to abide by FDIC data protection rules which are outlined in the FDIC's Information Security and Privacy Awareness training course which all employees take annually and certify that they will abide by the corporation's Rules of Behavior for data protection.

Additionally, the Outsourced Information Service Provider is responsible for assuring proper use of the data. Policies and procedures have been established to delineate this responsibility, and the vendor has designated Human Touch Translations' President to have overall accountability for ensuring the proper handling of data by vendor personnel who have access to the data. All vendor personnel with access to the data are responsible for protecting privacy and abiding by the terms of their FDIC Confidentiality and Non-Disclosure Agreements, as well as the vendor's corporate policies for data protection. Access to certain data may be limited, depending on the nature and type of data. (Refer to Section III of this Privacy Impact Assessment for more information on data access criteria.)

The Outsourced Provider must comply with the Incident Response and Incident Monitoring contractual requirement.

None of the above. *(Explain why no FDIC staff or Outsourced Information Service Provider personnel have been designated responsibility for assuring proper use of the data.)*

SECTION VI – DATA RETENTION AND DISPOSAL

17. Where will the Outsourced Service Provider store or maintain the PII data identified in question 4? Describe both electronic and physical storage repositories, as applicable.

Human Touch Translations stores records containing the aforementioned PII included in the completed translation package(s), contractual agreement(s), and confidentiality agreement(s) to their dedicated Microsoft SharePoint site. All Microsoft SharePoint Datacenters for the scope of this work are located within the United States. Microsoft SharePoint backs up translation package(s), contractual agreement(s), and confidentiality agreement(s) to Amazon Web Services (AWS) servers, located in Oregon, United States.

18. Specify the period of time that data is retained by the Outsourced Service Provider and the specific procedures for disposing of or returning the data at the end of the retention period or contract, whichever is first.

The contractor must dispose or return the data "as FDIC directs" "Upon completion or termination of the contract, or at any time the Contracting Officer requests it in writing" per contract clause 7.4.2-2(b).