

PRIVACY IMPACT ASSESSMENT

New Financial Environment (NFE)

December 2014

FDIC Internal System

Table of Contents

[System Overview](#)

[Personally Identifiable Information \(PII\) - NFE](#)

[Purpose & Use of Information - NFE](#)

[Sources of Information in NFE](#)

[Notice & Consent](#)

[Access to Data - NFE](#)

[Data Sharing](#)

[Data Accuracy - NFE](#)

[Data Security - NFE](#)

[System of Records Notice \(SORN\)](#)

[Contact Us](#)

System Overview

The FDIC's Division of Finance (DOF) is responsible for providing the Corporation with accounting, financial, and employee services. To facilitate its mission, DOF utilizes the New Financial Environment (NFE) system, which is an implementation of Oracle's PeopleSoft Financials, Enterprise Service Automation (ESA), Supply Chain Management (SCM), Enterprise Performance Management (EPM), and Enterprise Interaction Hub products. The NFE system consists of a unified set of financial systems that are managed together and operate in an integrated manner. NFE process and records financial (i.e., income, expenses, liabilities, assets, etc.), budgetary, procurement, contractual, and investment data at both the Corporate (i.e., fund, account, program, etc.) and Receivership levels. The data is summarized and reported on by a number of categories including: Time, Fund, Receivership, Account, Program, Organization, etc. down to the individual (Employee Identification Number or Social Security Number) and vendor level (Tax Identification Number). The system processes data daily, monthly, and at the end of each year.

The NFE system is comprised of a suite of modules. Only two of the modules contain sensitive personally identifiable information (PII) about employees.

1. The **Supplemental Payment System (SPS)** module is owned by DOF; however, it is housed in the FDIC Division of Administration (DOA) Corporate Human Resources Information System (CHRIS). SPS performs all corporate employee payment functions for NFE; SPS contains PII data such as Social Security Number (SSN).
2. NFE's **Enterprise Performance Module (EPM)** is a data warehouse which receives PII data from the Payroll Bridge System (PBS) and stores it in secure sensitive tables with strictly enforced access controls.

The NFE system supports an array of accounting and financial data from the following areas: Budgetary, Invoicing, Purchase Orders, Vendors, Billing and Receivables, Contracts, Requisitions, Acquisitions, Receiverships, Cash and Investments, Capital Assets, Projects, Travel and Expense (T&E), and General Ledger.

Personally Identifiable Information (PII) - NFE

NFE contains personal information about FDIC employees (both current and retired/terminated), including employee ID, name, home address, home telephone number, personal email address, and other relevant information related to supporting human resources processing. Information related to the processing of personal financial/accounting transactions is also collected and includes, but is not limited to: Employee SSN, name, home address, home telephone number and other information related to processing of personal transactions. Additionally, financial information related to employee travel and expenses is maintained in the NFE Travel and Expense (T&E) module.

The NFE EPM module contains vendor data, such as vendor name, address, Taxpayer Identification Number (TIN), and bank account number, related to the processing of vendor financial transactions.

The NFE Accounts Payable (AP) module contains information about failed financial institution customers/vendors who have claims against the Receivership. This information includes the

claimant's name, address and payment type, and is necessary for purposes of payment reconciliation and recording to the NFE General Ledger.

Purpose & Use of Information - NFE

The information collected by NFE is necessary and directly related to the system purpose, which is to provide a unified set of financial systems that process and record financial, budgetary, procurement, travel and expenses, contractual and investment data at both the Corporate and Receivership levels. The majority of the data elements are required as identifiers and needed to complete the NFE transactions.

Sources of Information - NFE

Personal information in this system comes from other internal FDIC systems (i.e., CHRIS, PBS, and SPS), external systems (i.e., JPMorgan Chase and US Bank), the employee, the employee's supervisor, Administrative Officers, and Human Resources staff.

NFE receives valid and updated vendor information (i.e., name, address, and billing terms) from the System for Award Management (SAM). SAM is the primary registrant database for the U.S. Federal Government. SAM collects, validates, stores, and disseminates data in support of agency acquisition missions.

The U.S. Department of Agriculture (USDA) National Finance Center (NFC) provides PII data to the DOA's CHRIS, which in turn, provides that data to NFE SPS. Additionally, USDA's NFC provides PII data to DOF's PBS, which in turn, provides that data to NFE EPM.

Third party sources providing data to NFE include JPMorgan Chase and U.S. Bank. NFE receives confirmation of issued and paid checks and Electronic Funds Transfer (EFT) data from JPMorgan Chase. NFE receives all purchase card transactions from U.S. Bank.

Notice & Consent

Individuals cannot opt out of providing personal information to NFE or to NFE modules. The information contained is necessary for the purposes of processing and recording financial (i.e., income, expenses, liabilities, assets, etc.), budgetary, procurement, contractual and investment transactions at both the Corporate and Receivership levels.

Access to Data - NFE

Users of the NFE system include authorized FDIC personnel, supervisory personnel, management officials, system administrators, and other employees of the Corporation who have a need to know the information contained in the system in order to carry out their official duties. In certain instances, contractors performing work on the Corporation's behalf may have access to records in NFE.

The primary users of the NFE system include authorized personnel in the Division of Finance (DOF) who are responsible for the operation and reporting of the financial events, including

staff responsible for Budgetary, Invoicing, Purchase Orders, Vendors, Billing and Receivables, Contracts, Requisitions, Acquisitions, Receiverships, Cash and Investments Capital Assets, Projects, Travel and Expense, and General Ledger. These users require access to NFE in order to fulfill their job duties, such as entering transactions, verifying data, and generating/using system reports. Additionally, individual Corporate employees use NFE when submitting requests for benefits, such as travel and expense reimbursements and petty cash reimbursements. Employees also use NFE to access the Supplemental W-2 Self-Service application, which allows them to access, print, and save a local (PDF) copy of their Supplemental W-2 forms.

Data Sharing

Other Systems that Share or Have Access to Data in the System:

System Name	System Description	Type of Information Processed
Division of Resolutions and Receiverships Internet Publications (DRRIP)	DRRIP is an external FDIC website that allows customers of failed banks to determine whether their accounts are fully insured or if they need to contact FDIC. In order for DRRIP to provide (1) the automation of quarterly Receivership Balance Sheets and (2) the ability to download the Receivership Balance Summary, NFE provides receivership balance sheet data for closed banks.	Balance sheet data for closed banks
Identity Access Management System (IAMS)	IAMS is the system of record for all access requests to FDIC applications and data. In order for IAMS to determine the Oversight Manager (OM) for contractors, NFE provides contract data to IAMS.	Contract data
Corporate Human Resources Information System (CHRIS)	CHRIS is the FDIC's human resources management system. NFE provides program code and department data to CHRIS. Personnel information related to supporting human resource processing is retrieved from CHRIS, but not stored in NFE. Name, SSN, and Employee ID are also retrieved from CHRIS (but not stored in NFE) in order to facilitate the retrieval of Supplemental W-2s from eComply.	Program code and department data, employee ID, name, address, and SSN
CHRIS Time & Attendance (CHRISTA)	CHRISTA is the Corporation's time and attendance application. NFE provides updated Chartfield data to CHRISTA.	Chartfield data
Automated Procurement System (APS)	APS is used to execute procurement transactions. NFE provides Requisition and Vendor data to APS. APS provides contract award data and contract award modification data to NFE.	Requisition and vendor data
Dividend Processing System (DPS)	DPS provides dividends and claims processing information to NFE. NFE provides updated Chartfield data and posted journal entry data to DPS.	Chartfield data, posted journal entry data, dividends and claims processing information
Control Total Module (CTM)	CTM provides accounting data from receivership and subsidiary entities to NFE. NFE provides updated Chartfield data and posted journal entry data to CTM.	Chartfield, journal entry data, accounting data

System Name	System Description	Type of Information Processed
Communication, Capability, Challenge, and Control – Asset Servicing Technology Enhancement Project (4C-ASTEP)	4C-ASTEP is used for current and future asset servicing, marketing, and resolution needs. NFE provides updated Chartfield data and posted journal entry data to 4C-ASTEP.	Chartfield data and posted journal entry data
Warranties Representations Account Processing System (WRAPS)	WRAPS is used by DRR to process and maintain data on claims made by asset purchasers under the terms of loan sales agreements. WRAPS provides NFE with vendor and payment information related to claims made by asset purchasers under the terms of the asset sales agreement. NFE provides updated Chartfield data and posted journal entry data to WRAPS.	Vendor and payment information, Chartfield data and posted journal entry data
Receivership Termination System (RTS)	RTS tracks FDIC Receiverships through the termination process and assists DRR in meeting annual termination goals. NFE provides termination data to RTS.	Termination data
Legal Integrated Management System (LIMS)	LIMS' main business function is to provide legal support; LIMS also processes invoice data, but does not produce or process checks. NFE provides updated Chartfield data and invoice data to LIMS. LIMS provides legal invoices to NFE.	Chartfield data, invoice data, legal invoices
Separation Incentive System (SIS)	DOF's SIS provides employee buyout accounting data to NFE. NFE provides posted journal entry data to SIS.	Posted journal entry data and employee buyout accounting data
Intra-governmental Payment and Collection Transaction Reducer (IPACTAR)	IPACTAR is a US Treasury application used to initiate and receive intra-governmental payment and collection transactions. NFE provides Transmission Control File (TCF) back to the FTP server and an extract file with the posting status of each journal entry. IPACTAR provides payment and collection transactions with other government agencies to NFE.	Transmission Control File (TCF) and posted journal entry data
Portfolio Investment Accounting (PORTIA)	PORTIA assists FDIC's mission by providing support needed to ensure that deposit insurance funds remain viable. NFE provides updates Chartfield data, Transmission Control File (TCF), and an extract file with the posting status of each Journal Entry. PORTIA provides investment-related transactions to NFE.	Transmission Control File (TCF), posted journal entry data, investment-related transactions
Risk Sharing Asset Management (RSAM) Data Mart	RSAM provides the FDIC with improved data monitoring capability for various risk share programs. NFE provides Receivership management reporting data and information on funds. This data is needed for the Chairman's dashboard.	Receivership management reporting data and information on funds
Receivership Oversight Plan System (ROPS)	During the nightly extract, transform, and load (ETL) process, ROPS data is uploaded to NFE's Enterprise Performance Module (EPM) Data Warehouse in order to produce the Variance Report.	ROPS data
Multi-Regular Place of Business (MPB), Frequent Traveler Lodging Stipend Program (FTLSP), Pre-NFE Travel Voucher Information (PTVI)	MPB, FTLSP, and PTVI are all subsystem of the Electronic Travel Voucher (ETV) System, which was retired in December 2012. None of these systems have direct interface with NFE. However, authorized NFE users/supervisors/auditors make manual expense data entries into the NFE T&E module, using data from reports generated in these subsystems.	Expense data

System Name	System Description	Type of Information Processed
JPMorgan Chase	JPMorgan Chase is a banking and financial services holding company. NFE sends out payment requests (EFTs and checks) through JP Morgan Chase. JP Morgan Chase provides the status of payments to NFE.	Payment requests and status of payments
U.S. Bank	U.S. Bank is a financial services holding company. U.S. Bank provides NFE with detailed Corporate Purchase Card information.	Corporate Purchase Card information
System for Award Management (SAM)	SAM is an official U.S. Government system. NFE receives valid and updated vendor information from SAM.	Vendor name, address, billing terms
OneSource (eComply)	eComply is a financial database that is owned and operated by a third-party vendor that assists the FDIC with processing, mailing, and electronically filing tax reporting data. NFE sends a file containing payment information for tax reporting purposes, which is uploaded to eComply. W-2 Self-Service data is also received from eComply.	Payment information, W-2 Self-Service information
Structure Information Management System (SIMS)	SIMS is owned by the FDIC Division of Insurance and Research (DIR). SIMS exports institution demographic data to NFE.	Corporate demographic data
NFEi-Payroll Bridge System (PBS)	PBS is the back-end system of FDIC's payroll process. DOF's NFEi-PBS provides employee salary and award data to NFE.	Employee salary and award data
Advanced Legal Information System (ALIS)	Contains all types of information related to the Division's business functions	Legal invoice data

Data Accuracy - NFE

NFE receives most of the PII data via FDIC sources. However, in instances where information is obtained from non-FDIC sources, measures are in place to ensure that the integrity and reliability of the data is maintained. The system is designed to require that specific information is entered for each transaction in order for it to be complete. If the required information is not entered, the personnel transaction will not be accepted by NFE.

Data Security - NFE

NFE users are required to annually undergo NFE Security Awareness Training and Rules of Behavior. Additionally, the DOF NFE Servicing and Control Section (NSCS) Security group monitors and reviews NFE users' compliance to this awareness program via a tracking tool.

Moreover, in accordance with Office of Management and Budget (OMB) Circulars A-123, and A-130, Appendix III, NFE has controls in place to prevent the misuse of the data by those that have access to the data. These security measures and controls consist of: passwords, user identification, IP addresses, database permissions, and software controls. All employees and contractors must meet the requirements for securing Privacy Act protected information. This includes completing the Privacy Act Awareness Orientation and Corporate-Level Security Awareness Orientation on an annual basis. The training includes the FDIC standard Rules of Behavior and has specific information regarding compromise and the prevention of misuse of data.

System of Records Notice (SORN)

The NFE system operates under the FDIC Privacy Act SORN 30-64-0012, *Financial Information Management Records*.

Contact Us

To learn more about the FDIC's Privacy Program, please visit:
<http://www.fdic.gov/about/privacy/>.

If you have a privacy-related question or request, email Privacy@fdic.gov or one of the [FDIC Privacy Program Contacts](#). You may also mail your privacy question or request to the FDIC Privacy Program at the following address: 3501 Fairfax Drive, Arlington, VA 22226.

