Federal Trade Commission
Privacy Impact Assessment

Rust Consulting Claims Management Database Two (CMD2)

Reviewed and Updated

May 2023

Contents

1 System Overview

1.1 Describe the project/system and its purpose.

The Federal Trade Commission's (FTC) Bureau of Consumer Protection (BCP) brings law enforcement actions that can result in the recovery of redress money from defendants for injured consumers or businesses. The FTC distributes money pursuant to a plan that is approved by a court, approved by an administrative law judge, or delegated to the FTC's discretion.

The Office of Claims and Refunds (OCR) is responsible for administering and coordinating

2 Data Type, Sources, and Use

2.1 Specify in the table below what types of personally identifiable information (PII)[1] may be collected or maintained in the system/project. Check all that apply.

PII Entibled	a b ShPII s	
☒ Full Name	☐ Biometric Identifiers (e.g., fingerprint, voiceprint)	☐ User ID
☐ Date of Birth		☐ Internet Cookie Containing PII
☒ Home Address	☒ Audio Recordings	☐ Employment Status, History, or Information
☒ Phone Number(s)	☐ Photographic Identifiers (e.g., image, x-ray, video)	
☐ Place of Birth		☐ Employee Identification Number (EIN)
☐ Age	☒ Certificates (e.g., birth, death, marriage, etc.)	
☐ Race/ethnicity		☐ Salary
☐ Alias	☒ Legal Documents, Records, Notes (e.g., divorce decree, criminal records, etc.)	☐ Military Status/Records/ ID Number
☐ Sex		
☒ Email Address	☐ Vehicle Identifiers (e.g., license plates)	☒ IP/MAC Address
☐ Work Address		☐ Investigation Report or Database
☐ Taxpayer ID	☒ Financial Information (e.g., account number, PINs, passwords, credit report, etc.)	
☐ Credit Card Number		☐ Driver's License/State ID Number (or foreign country equivalent)
☐ Facsimile Number		
☐ Medical Information		
☐ Education Records		
☒ Social Security Number	☐ Geolocation Information	☒ Other (*Please Specify*): Business name, unique claimant ID, customer account number, Rust operators call summary, recorded live agent calls.
☐ Mother's Maiden Name	☐ Passport Number	

The FTC does not routinely collect Social Security Numbers (SSNs) as part of its refund process. However, in limited cases, it may be necessary for the agency to collect and share SSNs with Rust in circumstances when the FTC must report the payments to the Internal Revenue Service (IRS) and provide 1099 Forms to the recipients. Form 1099 is a type of IRS form used to file and report various types of income other than wages and salaries.

Financial information, including bank account data, may be collected in some special circumstances where alternate payment methods are not available or on occasions when the consumer requests redress payment via a wire transfer instead of by mail. During the wire transfer process, financial information that is voluntarily provided by the consumer is maintained by the vendor in an access controlled secure location, and then deleted immediately after use.

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[1] Per OMB Circular A-130, personally identifiable information (PII) means information that can be used to distinguish or trace an individual's identity, either alone or when combined with other information that is linked or linkable to a specific individual.

2.2 What types of information other than PII will be collected, disseminated, or maintained by the project/system? Provide a general description below and be sure to include all data elements.

Data to Be Accessed By Whom Pursuant To	*How Will the Data Will Be Accessed*
	pertaining to the redress recipients: name, mailing address, loss amount, payment amount, and an assigned unique identifier.
Rust Staff	Authorized Rust IT professionals have temporary access to the data for importing, validating, updating, and storing claimant data. Authorized Rust IT professionals have access to perform

4.4 Are there procedures in place to allow individuals the ability to correct inaccurate or erroneous information? What is the process for receiving and responding to complaints, concerns, or questions from individuals? Explain.

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5.2 Are there administrative procedures and technical safeguards in place to protect the data in the system/project? What controls are in place to ensure proper use of the data? Please specify.

Layers of technical and operational controls safeguard the data maintained within Rust's CMD2 system. Only authorized Rust staff can access the system, on a need-to-know basis. Data usage is in accordance with the uses described in the executed contract between the FTC and Rust to support the FTC's claims and refunds activities. Prior to maintaining and disseminating claimant data, OCR staff removes all unnecessary information from the claimant data file and encrypts all data transmitted to Rust via email. Rust encrypts claimant data at rest. In addition, the FTC instructs Rust to collect the least amount of claimant information necessary. If personal information is collected through an online form, appropriate Transport Layer Security (TLS) encryption algorithm is /eo04 Tc 06eo04 Tc 06eo04Tmu4 -1.15-

6 Data Retention and Disposal

6.1 Specify the period of time that data is retained in the system/project. What are the specific procedures for disposing of the data at the end of the retention period?

Disposition of general technology management records and information system security records is authorized under National Archives and Administration (NARA) General Records Schedules 3.1 and 3.2. The disposition of the data will be covered by NARA-approved records disposition schedules of the FTC.

7 Website Priv-2 (i)-2.44 Tm((t)-1 (em0)-7 (e)i4-1 (poso T04 3422 0 0 152 (i)

8 Privacy Risks and Evaluation

8.1 Considering the type of information collected and sources of collection, what

8.3 Has a Privacy Act System of Records Notice (SORN) been published in the Federal Register for this system/project? If so, list the applicable SORN(s).

Yes. The system is covered by Privacy Act SORNs for nonpublic FTC program records, FTC-I-1, and for computer system user and identification access records, FTC-VII-3. Consumers are assigned a unique ID that may be used to index and retrieve their system records for identification, tracking, and reporting purposes.

8.4 How does the project/system ensure that the information is collected, used, stored, or disseminated in accordance with stated practices in this PIA?

As described in sections 5.2 and 8.2, Rust has technical and operational policies and controls in place to ensure data is maintained safeguarded and to prevent misuse or accidental claims data modification. Third party auditors have assessed Rust information security controls and evaluated their effectiveness. Rust has established monitoring controls to ensure systems are secure and operating effectively.

The collection, use, and disclosure of information from the Rust claims administration system has been reviewed to ensure consistency with the FTC's Privacy Policy.