

Department of Energy
Privacy Impact Assessment (PIA)

**Name of Project: BUDGET EXECUTION AND REPORTING
SYSTEM/FORMULATION REPORTING SYSTEM (BEARS/FRS)**

Bureau: Department of Energy (DOE)

Project's Unique ID: None

Date: March 15, 2007

A. CONTACT INFORMATION:

1) Who is the person completing this document?

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2) Who is the system owner?

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3) Who is the system manager for this system or application?

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

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

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B. SYSTEM APPLICATION/GENERAL INFORMATION:**1) Does this system contain any information about individuals?**

Yes

a. Is this information identifiable to the individual¹?

Yes

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

No.

c. Is the information about employees?

Yes

2) What is the purpose of the system/application?

To aid in the execution of the Department's budget activities including aiding in the funds control process.

C. DATA IN THE SYSTEM:**1) What categories of individuals are covered in the system?**

DOE approving officials.

2) What are the sources of information in the system?

STARS, Funds Distribution System (FDS), I-MANAGED Data Warehouse (IDW). NOTE: Personally Identifiable Information (PII) only comes from STARS.

¹ "Identifiable Form" – According to the OMB Memo M-03-22, this means information in an IT system or online collection: (i) that directly identifies an individual (e.g., name, address, social security number or other identifying number code, telephone number, email address, etc.) or (ii) by which an agency intends to identify specific individuals in conjunction with other data elements, i.e., indirect identification. (These data elements may include a combination of gender, race, birth date, geographic indicator, and other descriptor).

a. Is the source of the information from the individual or is it taken from another source?

STARS, Funds Distribution System (FDS), I-MANAGED Data Warehouse (IDW). NOTE: PII only comes from STARS.

b. What Federal agencies are providing data for use in the system?

None

c. What Tribal, State and local agencies are providing data for use in the system?

None

d. From what other third party sources will data be collected?

STARS, FDS, IDW

e. What information will be collected from the individual and the public?

No data will be collected from the individual.

3) Accuracy, Timeliness, and Reliability

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

N/A.

b. How will data be checked for completeness?

N/A.

c. Is data current? What steps or procedures are taken to ensure the data is current and not out-of-data?

Yes. The lookup tables are refreshed from STARS daily.

d. Are the data elements described in detail and documented?

Yes. All data elements of the BEARS/FRS system are described in detail in the BEARS/FRS life cycle document.

D. ATTRIBUTES OF THE DATA:

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

Yes. The use of the data is relevant and necessary for DOE to perform its required budgeting activities.

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?

No.

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

No.

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

No.

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?

N/A

8) How will 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.

The account flex fields are updated in BEARS via STARS daily. There are no personal identifiers used to retrieve the data.

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

None.

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.)

No information is provided by individuals.

E. Maintenance and Administrative Controls:

1) If the system is operated in more than one site, how will consistent use of the system and data be maintained in all sites?

BEARS is only operated at one site. All users of the system access the Oak Ridge Site.

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

Data is retained in accordance with the National Archives and Records Administration and with DOE Administrative Records Schedule 6: Accountable Officers Accounts Records, dated 6/17/02. (see <http://cio.doe.gov/documents/RS-DOEADM06.PDF>).

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?

Data is retained in accordance with the National Archives and Records Administration and with DOE Administrative Records Schedule 6: Accountable Officers Accounts Records, dated 6/17/02. (see <http://cio.doe.gov/documents/RS-DOEADM06.PDF>).

4) Is the system using technologies in ways that the DOE has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?

No.

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

N/A

6) Will this system provide the capability to identify, locate, and monitor individuals?

No.

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 system of records notice does the system operate?

N/A

10) If the system is being modified, will the Privacy Act system of records notice require amendment or revision?

N/A

F. Access to Data:

1) Who will have access to the data in the system?

General system access is provided to federal employees and government contractors. Access to the system is controlled through user-id and password.

Access to PII is limited to contractor employees. General users are not given access to PII data. No PII data is available to users other than four contractor employees.

(PII data is not displayed by the system and is used for user validation only.

2) How is access to the data by a user determined?

General access is based on need-to-know. Access is controlled by a user-id and password. An access policy of "least privilege" is in force. The level of access is based on the need-to-know and the job function.

3) Will users have access to all data on the system or will the user's access be restricted?

Restricted Access.

4) What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?

Technical and administrative controls are in place to prevent the misuse of data by individuals with access. The technical controls include restricted access via user-id and password. Rules of behavior and consequences for violating the rules are displayed to the user each time the user logs onto the system. Administrative controls include nondisclosure agreements and system logs to monitor access and user activity in the system.

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?

Contractors are involved in the design, development and maintenance of the system. Personal information from STARS and VIAS may be disclosed as a routine use to these contractors and their officers and employees in performance of their contracts. Those individuals provided information under this routine use are subject to the same limitations applicable to DOE officers and employees under the Privacy Act, 5 U.S.C. 552a. Pertinent contract language states that data covered by the Privacy Act may be disclosed to contractors and their officers and employees. Any information that is obtained or viewed shall be on a need-to-know basis. Contractors are required to safeguard all information that they may obtain in accordance with the provisions of the Privacy Act and the requirements of the DOE. The contractor shall ensure that all DOE documents and software processed, and the information contained therein, are protected from unauthorized use and mishandling by assigned personnel.

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

FDS data is entered manually in BEARS. BEARS retrieves data from STARS by reading views in STARS.

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

Director, Oak Ridge Financial Service Center.

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

No.

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

The Following Officials Have Approved this Document

1) System Manager

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Name: Byron Maddox

Title: System Administrator

2) Systems Owner

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3) Privacy Act Officer

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