

Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: Fernald Historical Records System (FHRS)

Bureau: Department of Energy (DOE)

Project's Unique ID: N/A

Date: 03/09/2007

A. CONTACT INFORMATION:

1) Who is the person completing this document?

Jake Appetta, Office of Business Operations, MS 95-L, U.S. Department of Energy, 626 Cochran Mill Rd, Pittsburgh PA, 15236, (412) 386-4762, appetta@netl.doe.gov

2) Who is the system owner?

Terry Brennan, Office of Business Operations, MS 95-L, U.S. Department of Energy, 626 Cochran Mill Rd, Pittsburgh PA, 15236, (412) 386-5989, Terry.Brennan@netl.doe.gov

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 Privacy Act Officer who reviewed this document?

Abel Lopez, U.S. Department of Energy, Director, Freedom of Information Act and Privacy Act Office, ME-74, 1000 Independence Avenue, S.W., Washington, DC 20585, 202-586-5955

B. SYSTEM APPLICATION/GENERAL INFORMATION:

1) Does this system contain any information about individuals?

Yes

a. Is this information identifiable to the individual?

Yes

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

No

c. Is the information about DOE or contractor employees?

Yes

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

The system provides access to records that are maintained and used by the Department to settle claims and prepare for litigation and resolve disputes. The system consists of historically relevant documents gathered during litigation discovery activities from 1986 to 1993 and scanned as tiff images with a text index.

3) What legal authority authorizes the purchase or development of this system/application?

42 U.S.C. 7101 et seq. and 50 U.S.C.2401 et seq.

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

The categories of individuals include current and former DOE employees, and current and former DOE contractor and subcontractor employees.

2) What are the sources of information in the system?**a. Is the source of the information from the individual or is it taken from another source?**

The information is not obtained directly from the individual. The information is included in historical and static documents.

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?

None

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

None. Information is not being collected from the individual or the public.

3) Accuracy, Timeliness, and Reliability**a. How will data collected from sources other than DOE records be verified for accuracy?**

N/A. Records are static and historical.

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?

The data was verified for accuracy and completeness at the time it was created. The data was current at that time. The system contains historical data and there is no requirement to update it with current information.

d. Are the data elements described in detail and documented? If yes, what is the name of the document?

Data elements are not described in any available documentation since the system consists of scanned documents.

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?**

The data collected is relevant and necessary for the Office of Legacy Management (LM) at DOE to settle claims and prepare for litigation and resolve disputes. The system consists of historically relevant documents gathered during litigation discovery activities from 1986 to 1993 and scanned as tiff images with a text index.

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?

The system will not derive new data.

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

No new data is included in the system.

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?

No new data is included in the system.

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.

Social Security Numbers and employee names can be used for retrieval.

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

No reports are produced on individuals from the system.

10) What opportunities do individuals have to decline to provide information (e.g., where providing information is voluntary) or to consent only to particular uses of the information (other than required or authorized uses)?

N/A

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 maintained in all sites?

The system is only operated at one site.

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

The retention periods are in accordance with applicable National Archives Records Administration (NARA) and DOE record schedules.

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?

The system and data will be destroyed (deleted) when it is no longer needed and in accordance with applicable NARA and DOE record schedules.

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

No new technologies are employed or existing ones used differently.

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

There is no affect. DOE is not using any technologies in ways not previously employed.

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

The System does not have the capability to identify, locate, and monitor active individuals.

7) What kinds of information are collected as a function of the monitoring of individuals?

None

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?

DOE-41 “Legal Files (Claims, Litigation, Criminal Violations, Patents, and Others)”.

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

The system is not being modified.

F. ACCESS TO DATA:

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

DOE Federal and contractor personnel will have access to the data in the system. Access is limited to contractor and government employees who are required to use the system for record requests.

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

Access to data is restricted to LM record staff at LM onsite and offsite locations. Based on a specific need, the user is assigned permissions that are applied using system access control lists. User accounts are reviewed monthly to identify and remove users who have left the organization or whose duties no longer require access to the system.

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

Users have access to all data.

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 based on user responsibility and job function. All system team members (Federal and contractor) are required to complete the Department of Energy Headquarters Annual Cyber Security Refresher Briefing or LM Annual Cyber Security Refresher Briefing as a necessary prerequisite for access to the system. Administrative controls include non-disclosure agreements and separation of duties so individuals only have access to the system for specific projects.

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 included in their contracts and other regulatory measures addressed?

Contractors are involved with the operation of the system. Personal information from this system may be disclosed to these contractors and their officers and employees in performance of their contracts. 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.

No other systems share data or have access to the data in the system.

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

Director of Business Operations, Legacy Management

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?

System Owner

The Following Officials Have Approved this Document

1) System Manager

Jake K. Appetta

Digitally signed by Jake
Appetta
Date: 2007.03.23 11:53:07
-04'00'
(Signature) _____ (Date)

Name:

Title:

2) Privacy Act Officer

Abel Lopez

(Signature) 3/23/07 (Date)

Name: Abel Lopez

Title: Director, Freedom of Information Act and Privacy Act Officer

3) Senior Agency Official for Privacy

Ingrid Kolb

(Signature) 3-26-07 (Date)

Name: Ingrid A.C. Kolb

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