Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: Foreign Travel Management System (FTMS)
Bureau: Department of Energy (DOE)
Project's Unique ID:
Date: November 1, 2007

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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 individual[1]?

Yes.

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

Yes. The FTMS does capture information that includes university staff, guest travelers of university staff, foreign nationals, and invitational guests.

c. Is the information about employees?

Yes.

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

The Foreign Travel Management System provides automated support to the official foreign travel trip approval process as defined in DOE Order 551.1B, *Official Foreign Travel*. The system provides for the routing of travel requests to the various DOE departments that must

approve the trip before the individual travels abroad. The FTMS serves as the DOE official source of foreign travel information, including the name of the individual, countries visited, and number of trips taken per year, the topics covered, and the cost for each trip. The system maintains records of international conferences and keeps a tally of the number of DOE participants in order to stay within DOE attendance guidelines.

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

Department of Energy Authorization Act, Title 42, United States Code (U.S.C.), 7101 *et. seq.*; 50 U.S.C. 2401 *et. seq.;* 5 U.S.C. chapter 3, sec. 301; 5 U.S.C. chapter 57; Federal Travel Regulation; and DOE Order 551.1B, *Official Foreign Travel.*

C. DATA IN THE SYSTEM:

1) What categories of individuals are covered in the system?

The categories of individuals include, DOE employees, contractor employees, university staff, guest travelers of university staff, foreign nationals, and invitational guests.

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

In addition to data input by users of the system through standard input screens, the system receives per diem rates from the State Department website. These rates are used to provide pre-loaded actual cost estimates. The system also receives Budget & Reporting (B&R) codes from DOE's Budget and Reporting Codes System (BARC) which is part of the DOE accounting system. B&R codes are used to help associate pre-trip cost estimates with DOE codes. In addition, FTMS receives data on new trips from GovTrip (DOE's travel management system for federal employees) via secure FTP using private key authentication. Currently DOE's Los Alamos National Laboratory uploads data to FTMS via a Web Service connection. The IP addresses and user ID/password for any incoming data are checked against the authorized set of IP addresses and users established by the system owner to ensure only those authorized to perform an upload of data are able to run the process. It is anticipated that additional sites will make use of the available Web Services during the fiscal years of 2007 and 2008.

> #### a. Is the source of the information from the individual or is it taken from another source?
>
> The information is provided by the individual traveler or an authorized FTMS user enters the data via standard data entry screens.
>
> #### b. What Federal agencies are providing data for use in the system?
>
> U.S. State Department.

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 employee and the public?**

Itinerary information (i.e., location, purpose and etc.), traveler name, date of birth, place of birth, employment address, employment phone number, home phone number (optional and used in case of emergency if provided by traveler), employment electronic mail address (e-mail) (preferred), but could contain their home e-mail address.

3. **Accuracy, Timeliness, and Reliability**

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

The System Administrators download per diem rates from the State Department website based on e-mail notification that the file has been updated. The FTMS technical lead downloads the new rates from the State Department website. Downloads are imported into a staging database. From there, the new data is compared to the existing data in FTMS and updated where there have been changes.

b. **How will data be checked for completeness?**

Data in the system is reviewed by DOE program office officials prior to their approval of individual travel requests.

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

Yes. The data is provided by the individual, therefore it is determined that the information is current. The data in the system is reviewed by DOE program office officials prior to their approval of individual travel requests.

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

Yes. Data elements are described in the FTMS System User Guide, Data Dictionary, and input screens via screen help functionality.

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

User reports on individuals are only available for use by the Site Administrators and System Administrators. The reports provide traveler name, system role, e-mail and work phone information. There also are canned reports and ad hoc reports that can be generated by System and Site Administrators to extract any data in the FTMS database.

Generally these reports are used by FTMS staff to review trip information prior to approving the individual's travel request and can be used by the traveler to review his/her travel information. These reports are also used by the Office of Intelligence and Counterintelligence staff to determine whether or not a pre-briefing of the traveler is necessary prior to travel.

Site personnel can only access their site's data; System Administrators can access all data. Separation of user functionality is accomplished server side through specific user groups and application side through selective user rights.

The application is controlled by role with privileges ranging from view only – which can only see reports for their specific site; through System Administrator who have access to all of the data in the system.

System Administrator capability is only granted to the system owner and FTMS help desk personnel. The highest role assigned is Senior/Headquarter OPOC which allows access to view and edit data for his or her site.

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.)

A basic set of data elements is required to support the foreign travel process. However, certain elements are optional and may or may not be provided based on the traveler's determination. In those cases the traveler does provide the optional data she/he cannot determine uses of the information. The DOE Deputy Chief of Staff has the authority to deny/release reports containing this information externally.

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?

Consistent use of FTMS is maintained because it is only operated at one site (DOE Headquarters) and is used by multiple sites.

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

The data retention is in accordance with National Archives and Records Administration (NARA) General Records Schedule and DOE record schedules, Foreign Travel Authorizations (N1-434-98-12, item 1.1). Information is available http://cio.energy.gov/documents/ADM_9.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?

The disposition of data is in accordance with National Archives and Records Administration (NARA) General Records Schedule and DOE record schedules Foreign Travel Authorizations (N1-434-98-12, item 1.1). Information is available http://cio.energy.gov/documents/ADM_9.pdf.

Reports generally are kept for 1 year. However, reports required by users have been maintained since the systems implementation in 1999 and will be maintained for a period of 10 years once the system has been in operation for that period.

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? If yes, explain.

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 systems of records notice does the system operate? Provide number and name.

DOE- 27 "Foreign Travel Management System" (FTMS).

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

Yes, the system of records notice is being amended. Currently the system covers DOE employees and contractor employees authorized to travel to foreign countries on official business. The amendment will expand the categories of individuals to include university staff, guest travelers of university staff, foreign nationals, individuals attending DOE sponsored conferences, and invitational guests.

F. ACCESS TO DATA:

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

The application is controlled by roles with privileges ranging from view only – who can only see reports for their specific site, through System Administrator who have access to all of the data in the system. External requests for data require the approval of the DOE Deputy Chief of Staff.

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

FTMS Site Administrators determine what access users will be provided by selecting the users role when approving their account. The available roles are:

> **System Administrator** – has access to all functions in the application. Can only be granted by another System Administrator. Limited to the system owner and the FTMS help desk.

> **Senior Organizational Point of Contact (OPOC)** - oversees his/her site and is able to create, route, approve, and closeout trips; and approve user accounts.

> **Headquarter OPOC** - has the same functions as Senior OPOC plus manages conferences.

> **Site OPOC** - is able to create, route, approve, and closeout trips at his or her site.

> **Senior Data Entry** - is able to create, route and closeout trips at his or her site.

> **Data Entry** - is able to create and closeout trips at his or her site.

> **Traveler** - is able to create and closeout only his or her trips.

> **Approver** - can approve trips routed to the individual approver.

N/A

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

No. Other agencies do not share the data or have access to the data in this system.

9) How will the data be used by the other agency?

N/A

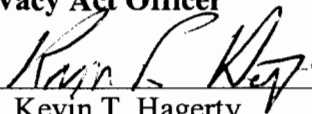**10) Who is responsible for assuring proper use of the data?**

N/A

The Following Officials Have Approved This Document

1) **System Owner**

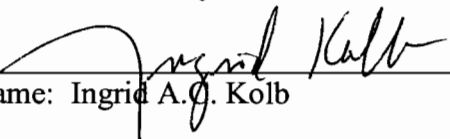_____ (Signature) ____11/2/07____ (Date)
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