

Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: Oak Ridge Office (ORO) Energy Employees Occupational
Illness Compensation Program (EEOICPA)
Bureau: Department of Energy (DOE)
Project's Unique ID: 019-60-02-00-01-5000-04
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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.

¹ "Identifiable Form" - According to the OMB Memo M-02-22, 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 or 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).

c. Is the information about DOE or contractor employees?

Yes.

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

The purpose of the system is to collect and maintain records needed by the DOE ORO to assist individuals with filing EEOICPA claims for conditions that may be due to exposures during employment by or for DOE.

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

Title 42, United States Code (U.S.C.), Section 7101 et. seq.; 50 U.S.C. et. seq.; The Energy Employees Occupational Illness Compensation Program Act of 2000, Public Law 106-398.

C. DATA in the SYSTEM:

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

The categories of individuals covered by this system are individuals seeking assistance in obtaining compensation for an illness believed to have been contracted due to employment by or for DOE.

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 obtained from the individual.

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?

Information obtained from the individual consists of their name, social security number, address, dates and places of employment.

3) Accuracy, Timeliness, and Reliability

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

The data in the system is provided by the individual to whom it pertains or by a family member. Therefore, it is determined it is accurate at the time it is submitted.

b. How will data be checked for completeness?

The data in the system is provided by the individual to whom it pertains or by a family member. Therefore, it is determined it is complete at the time it is submitted.

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 What steps or procedures are taken to ensure the data is current and not out-of-date?

The data in the system is provided by the individual to whom it pertains or by a family member. Therefore, it is determined it is current at the time it is submitted.

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

The data elements are described and documented in the data dictionary.

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 to administer the EEOICPA program and assist individuals with filing EEOICPA claims for health conditions that may be related to exposures during employment by or for DOE.

- 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, the system will not derive new data.

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

N/A

- 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?**

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.**

Data is retrieved using the social security number in conjunction with the name of the individual and location of employment.

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

Reports are not produced on individuals. Reports are created providing the status of the claim.

- 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)?**

The individual provides the information voluntarily.

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?**

The system is used only within the ORO Information Resources Management Division (IRMD) General Support System Enclave boundaries. All system users are ORO IRMD enclave users.

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

The records retention periods are in accordance with applicable NARA and DOE record schedules. Additional information can be obtained at <http://cio.energy.gov/records-management/adminrs.htm>.

- 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 records disposition periods are in accordance with applicable NARA and DOE record schedules. Additional information can be at <http://cio.energy.gov/records-management/adminrs.htm>.

- 4) Is the system using technologies in ways that 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?**

The system does not have the capability to identify, locate or monitor individuals.

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?

The system is subject to functional and administrative controls of the IRMD Enclave. The IRMD Enclave is classified as “Moderate” according to the Federal Information Security Management Act (FISMA). Appropriate controls are in place to identify and stop misuse of the systems within it. The system limits access to the documents based on functional roles and user ID. No user is permitted access to the documents for monitoring purposes without the direction of ORO management.

9) Under which Privacy Act system of records notice does the system operate?

DOE-10 “Worker Advocacy Records”

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

The system of records does not require an amendment or revision.

F. Access to Data:

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

Only DOE Federal and contractor personnel have access. Access is strictly controlled based on job responsibility and function. User-name and Password are required to access data.

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

Access is restricted by job roles and responsibilities.

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

Access is determined through account access procedures.

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

The ORO EEOICPA Extranet Site has been implemented with a Role Based security process applied to each User Account. A user must be granted permissions to view documents by Group. The account structure that implements ORO EEOICPA Extranet Site has been designed to limit access to a site or site module by Group and/or through a direct account.

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?

Yes. Contractors were involved with the design and development of the system and will be involved with the maintenance of the system. Information may be disclosed to contractors and their officers and employees in performance of their contract. Individuals provided this information are subject to the same limitation 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 are required to safeguard all information they may obtain in accordance with the provisions of the Privacy Act and the requirements of DOE. The contractor shall ensure that all DOE ORO 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 outside systems share the system data.

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

N/A

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

No other agencies have access to the 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?

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