

Privacy Impact Assessment for FERC Online

March 12, 2004

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System Owner

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General Information:

FERC Online retains names, postal addresses, email addresses, and affiliations of individuals in order to:

- serve parties in legal proceedings (eRegistration/eList);
- distribute documents electronically through self-service subscriptions (eRegistration/eSubscription);
- index official documents (eLibrary);
- allow individuals to file documents electronically (eFiling).

FERC Online is neither a major information system nor a national security system.

The authorization to collect and maintain the information is through:

- eList - CFR Title 18, Volume I, Part 385;
- eSubscription - CFR Title 18, Volume I, Part 390;
- eLibrary - CFR Title 18, Volume I, Part 388;
- eFiling - CFR Title 18, Volume I, Part 385.

Data Privacy Analysis:

Data is maintained for organizations and individuals transacting business with the Commission and stakeholders for Commission decisions and is either voluntarily provided by the individual or his agent or is provided by reference from third parties through the submission of documents necessary for the transaction of business—there is no other requirement for individuals to provide this information. As outlined in CFR Title 18, Volume I, Part 385, individuals may request confidential treatment of information filed. Individuals providing information pursuant to serving parties attest to its accuracy and completeness. Data provided by reference from third parties through the submission of documents is not attested to; however, parties filing documents with the Commission should follow Commission rules of practice and procedure as defined in CFR Title 18, Volume I, Part 385.

Attributes of the data are:

- name;
- professional title;
- affiliated or represented organization;
- street address;
- phone number;
- email address.

This information is required for the routine conduct of business and, with the exception of eMail addresses, does not expand the scope or volume of private information currently collected by FERC. FERC provides informed consent for the collection of the data through the CFR and specific public notices. The data is not aggregated or consolidated with data from other sources in order to be shared with other agencies or for any other purpose. It will be used to document business transactions with FERC, but will not be summarized or aggregated to support specific Commission action, conduct statistical research, or provide research data to other agencies.

The data is retrieved by:

- requesting information about a specific Commission proceeding (docket number);
- requesting to update one's own individual information (eRegistration ID);
- retrieving specific documents routinely used to conduct business with the Commission (full-text or index search).

It is displayed as:

- a list of parties and/or stakeholders to a proceeding and their representatives;
- an update form accessible to the individual supplying the information or a Commission system administrator;
- document text obtained by retrieving and viewing specific documents selected from a search results list;
- a list of documents filed electronically.

An individual can report on all proceedings for which they represent a party and system administrators can report on all proceedings related to all individuals. Commission staff and system administrators can report on electronic filings by individuals.

Maintenance, Controls, and Privacy Issues:

This is an existing system maintained at one site. Retention periods are established for each type of Commission proceeding and are scheduled for disposal according to those schedules as documented in the Commission records schedule. Since information about individuals pertains solely to their business capacity and does not include information about their education, financial transactions, medical history, criminal history, employment history, or any other personal information of a similar nature, FERC Online is not a system of records as defined by the Privacy Act.

Other than the views and reports listed above, access to the system is limited to system administrators (contractor personnel) and is controlled by established Commission security policy and procedures. Contractors responsible for development and

maintenance of the system do not have access to the production environment or its data. Other systems and agencies do not have access other than that provided to the general public to the data.

Though the information is considered to be routine for the transaction of business, individuals and organizations can request that any information filed with the Commission be designated non-public, as outlined in CFR Title 18, Volume I, Part 385.

Due to concerns about the harvesting of email addresses and SPAM, FERC Online will limit the display of email addresses:

- individuals representing parties to a given proceeding can view the email addresses of other individuals involved in that specific proceeding;
- individuals filing documents electronically can search and view email addresses after posting a document with the Commission in order to identify contacts for parties to the proceeding;
- individuals can, after providing the email address of a current service list participant, view email addresses of other individuals participating in any service list;
- individuals can view and update their own email address through eRegistration;
- FERC staff can view email addresses in order to conduct business with stakeholders;
- authorized system administrators can view email addresses.

Due to concerns that the use of full-text indexing and search and optical character recognition technology increases the risk of the harvesting of information not intentionally collected by the Commission (specifically, social security numbers) from filed documents but potentially inadvertently included in documents by filers, we will review the implementation of an automated routine to identify possible social security number strings in order to review those documents with the filer regarding the public availability of the information. This assessment will be revised and resubmitted after our review. This assessment will also be revised and resubmitted after the deployment of eList and eService.

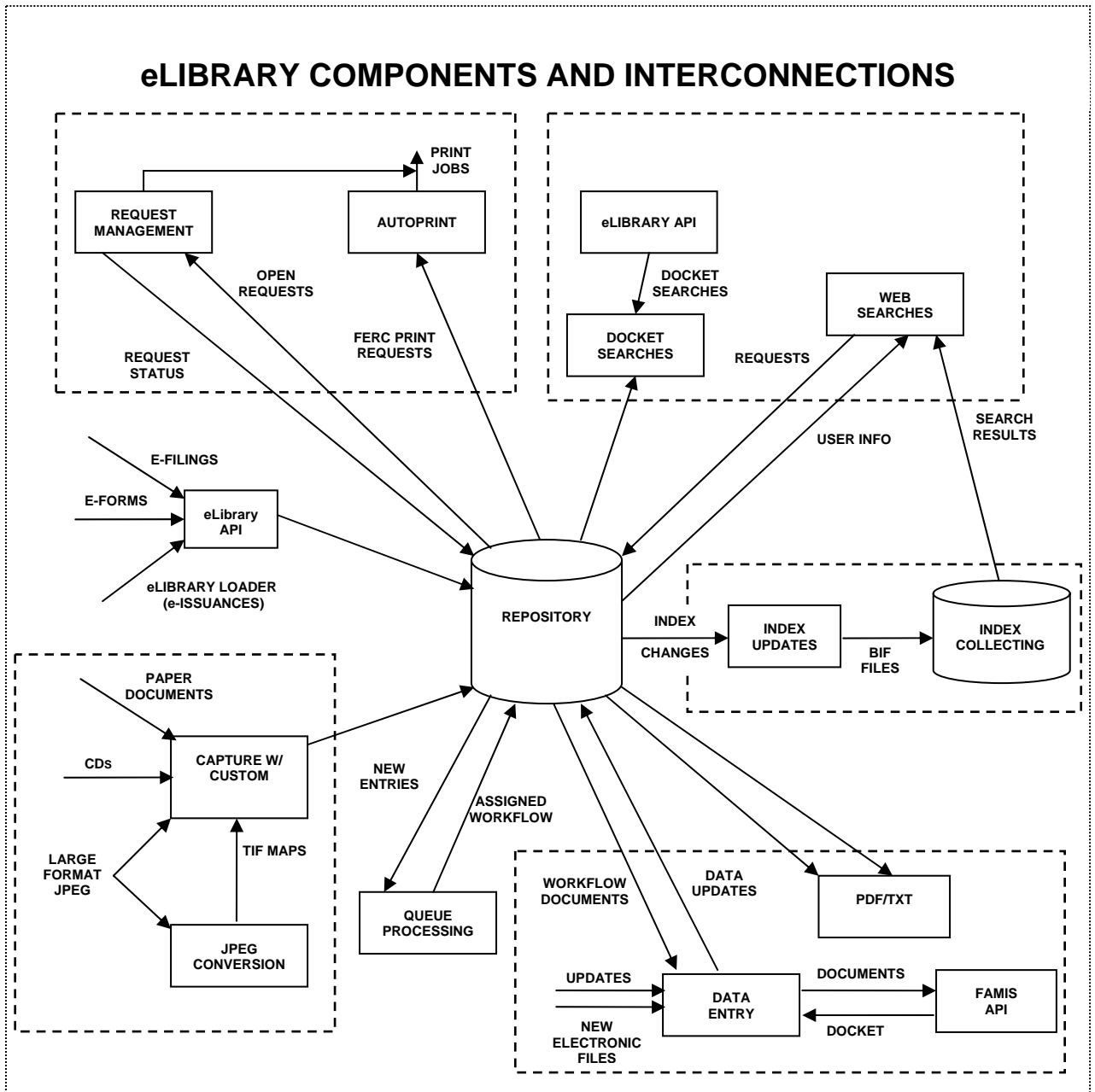
Information Flows and Analysis

The following diagrams represent how the information outlined above is stored and distributed by FERC Online. The first diagram demonstrates information flows for eLibrary, the FERC Online document management component. The second demonstrates information flows for FERC Online components that support registration for FERC Online service and participation in electronic service: eRegistration, eList, and eService.

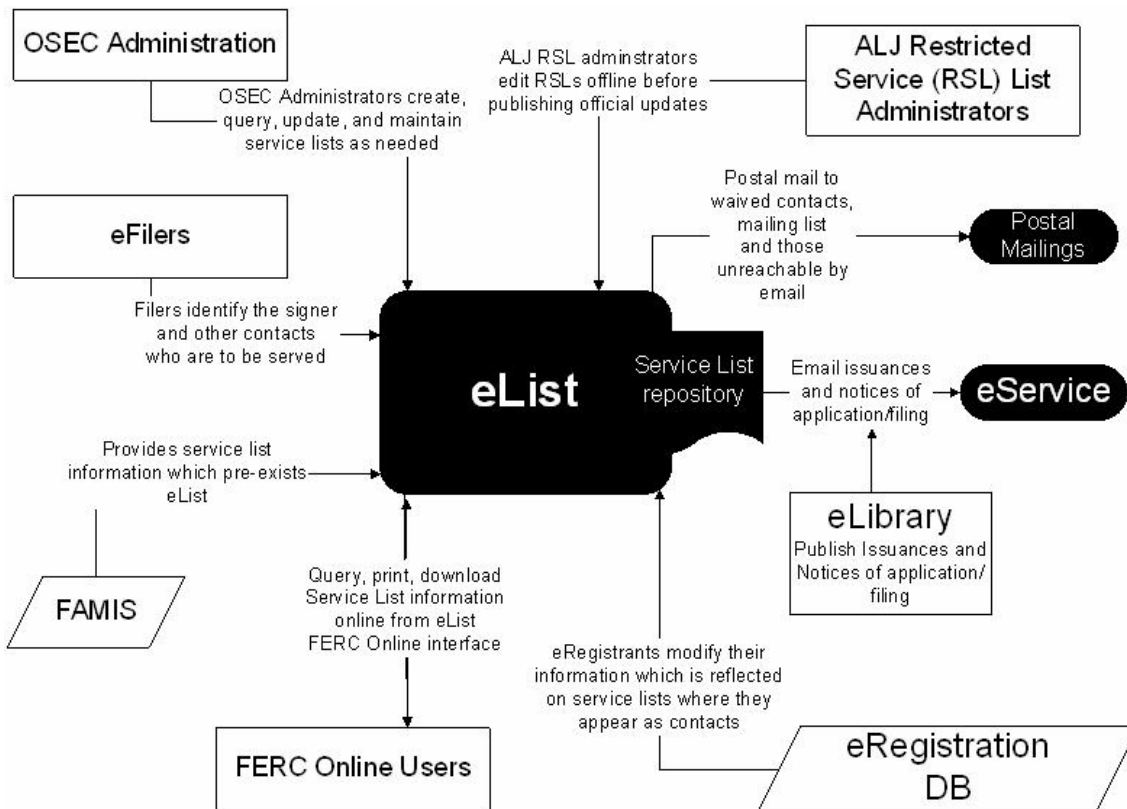
FERC Online adheres to eGovernment Act privacy guidelines and conforms to general privacy principles by:

- Limiting the amount of information collected to the essential necessary for the conduct of business;
- Limiting interfaces to external systems;

- Use of standard products, both hardware and software, compliant with the Federal Enterprise Architecture Technical Reference Model and configuration of those components according to industry security standards and guidelines;
- Use of a standard development life-cycle (SDLC) methodology to support the initiative.



FERC Online eLibrary information flow.



FERC Online eRegistration/eList-eService Information flows.