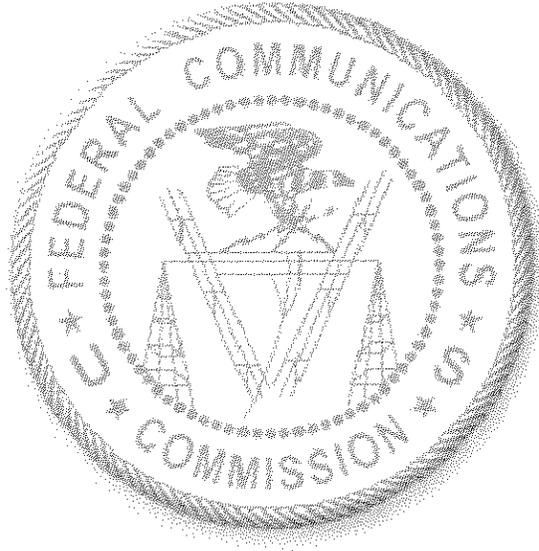# Federal Communications Commission

Office of the Managing Director

Privacy Impact Assessment[1] (PIA) for the Emergency Contact List

June 27, 2007

Information System: Emergency Contact List
FCC Bureau/Office: Office of the Managing Director
Division: Human Resources Management

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[1] This questionnaire is used to analyze the impacts on the privacy and security of the personally identifiable information (PII) that is being maintained in these records and files.

The *Privacy Act of 1974*, as amended, 5 U.S.C. 552a, requires Federal agencies to take special measures to protect personal information about individuals when the agencies collect, maintain, and use such personal information.

Having established through the **Privacy Threshold Assessment** that this information system contains information about individuals, *e.g.*, personally identifiable information (PII), it is important that when the FCC makes changes to such an information system, the FCC then analyzes:

(a) What changes are being made to the information that the system presently collects and maintains; and/or

(b) What new information will be collected and maintained to determine the continuing impact(s) on the privacy of the individuals.

The Privacy Impact Assessment template's purpose is to help the bureau/office to evaluate the changes in the information in the system and to make the appropriate determination(s) about how to treat this information, as required by the Privacy Act's regulations.

Section 1.0 Information System's Contents:

1.1   Status of the Information System:

☐ New information system—Development date [mm/dd/yyyy]:
☒ Revised or upgraded information system—Revision or upgrade date: Revised May 2006.

If this system is being revised—what will be done with the newly derived information:

☒ Placed in existing information system—Implementation Date: May 2006.
☐ Placed in new auxiliary/ancillary information system—Date [mm/dd/yyyy]:
☐ Other use(s)—Implementation Date [mm/dd/yyyy]:

Please explain your response:

Human Resources Management (HRM) revised the Emergency Contact List database in May 2006.

1.2   Has a Privacy Threshold Assessment been done?

☐ Yes
Date:
☒ No

If a Privacy Threshold Assessment has not been done, please explain why not:

This information system has a system of records notice (SORN) that pre-dates the implementation of the Privacy Impact Assessment requirement.

If the Privacy Threshold Assessment (PTA) has been completed, please skip to Question 1.15

1.3   Has this information system, which contains information about individuals, *e.g.*, personally identifiable information (PII), existed under another name, *e.g.*, has the name been changed or modified?

☒ Yes
☐ No

If yes, please explain your response:

This information system's system of records notice (SORN) was previously titled FCC/OMD-15, "Employee Locator System" SORN. It has been renamed FCC/OMD-15, "Emergency Contact List" SORN.

1.4   Has this information system undergone a "substantive change" in the system's format or operating system?

☒ Yes
☐ No

If yes, please explain your response:

The Emergency Contact List information system has been expanded to include contractors working at the FCC and volunteers at the FCC and the personal information that individuals in each of these groups input into the electronic database. The FCC's Human Resources Management (HRM) staff changed the title of this SORN to reflect these changes in the categories of records that the information system maintains.

If there have been no such changes, please skip to Question 1.7.

1.5   Has the medium in which the information system stores the records or data in the system changed from paper files to electronic medium (computer database); or from one electronic information system to another, *i.e.*, from one database, operating system, or software program, *etc.*?

☐ Yes
☒ No

If yes, please explain your response:

Records in this information system are stored in an electronic database.

1.6   Has this information system operated as part of another information system or was it linked to another information system:

☐ Yes
☒ No

If yes, please explain your response:

If the information system is not part of, nor linked to another information system, please skip to Question 1.8

1.7   If so, was it operated by another bureau/office or transferred from another Federal agency to the FCC?

☐ Yes
☐ No

Please explain your response:

1.8   What information is the system collecting, analyzing, managing, storing, transferring, *etc*:

Information about FCC Employees:

☐ No FCC employee information
☒ FCC employee's name

- [ ] Other names used, *i.e.*, maiden name, *etc.*
- [ ] SSN
- [ ] Race/Ethnicity
- [x] Gender
- [ ] U.S. Citizenship
- [ ] Non-U.S. Citizenship
- [ ] Biometric data
    - [ ] Finger prints
    - [ ] Voice prints
    - [ ] Retina scans/prints
    - [ ] Photographs
    - [ ] Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*
- [ ] Birth date/age
- [ ] Place of birth
- [ ] Medical data
- [ ] Marital status
- [ ] Spousal information
- [ ] Miscellaneous family information
- [ ] Home address
- [ ] Home address history
- [ ] Home telephone number(s)
- [ ] Personal cell phone number(s)
- [ ] Personal fax number(s)
- [x] Emergency contact data: First and/or second contact(s)'s name(s); home, work, and/or cell phone number(s), and/or pager number and pager P.I.N.; and e-mail 1 and e-mail 2 address(es).
- [ ] Credit card number(s)
- [ ] Driver's license
- [ ] Bank account(s)
- [ ] Personal e-mail address(es)
- [ ] FCC personal employment records
- [ ] Military records
- [ ] Financial history
- [ ] Foreign countries visited
- [ ] FCC badge number (employee ID)
- [ ] Law enforcement data
- [ ] Background investigation history
- [ ] National security data
- [ ] Communications protected by legal privileges
- [ ] Digital signature
- [x] Other information: FCC employee's Bureau/Office and Division, physical location, *e.g.*, office or workspace address, and FCC work telephone number, FCC cell phone number, and/or FCC pager number and pager P.I.N.

Information about FCC Contractors:

- [ ] No FCC contractor information
- [x] Contractor's name
- [ ] Other name(s) used, *i.e.*, maiden name, *etc.*
- [ ] SSN
- [ ] Race/Ethnicity
- [x] Gender

- ☐ U.S. Citizenship
- ☐ Non-U.S. Citizenship
- ☐ Biometric data
  - ☐ Finger prints
  - ☐ Voice prints
  - ☐ Retina scans/prints
  - ☐ Photographs
  - ☐ Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*
- ☐ Birth date/Age
- ☐ Place of birth
- ☐ Medical data
- ☐ Marital status
- ☐ Spousal information
- ☐ Miscellaneous family information
- ☐ Home address
- ☐ Home address history
- ☐ Home telephone number(s)
- ☐ Personal cell phone number(s)
- ☐ Personal fax number(s)
- ☒ Emergency contact data: First and/or second contact(s)'s name(s); home, work, and/or cell phone number(s), and/or pager number and pager P.I.N.; and e-mail 1 and e-mail 2 address(es).
- ☐ Credit card number(s)
- ☐ Driver's license number(s)
- ☐ Bank account(s)
- ☐ Personal e-mail address(es)
- ☐ Non-FCC personal employment records
- ☐ Military records
- ☐ Financial history
- ☐ Foreign countries visited
- ☐ FCC Contractor badge number (Contractor ID)
- ☐ Law enforcement data
- ☐ Background investigation history
- ☐ National security data
- ☐ Communications protected by legal privileges
- ☐ Digital signature
- ☒ Other information: Contractor's Bureau/Office and Division, physical location, *e.g.*, office or workspace address, and FCC work telephone number, FCC cell phone number, and/or FCC pager number and pager P.I.N.

Information about FCC Volunteers, Visitors, Customers, and other Individuals:

- ☐ Not applicable
- ☒ Individual's name: Individuals volunteering at the FCC
- ☐ Other name(s) used, *i.e.*, maiden name, *etc.*
- ☐ SSN
- ☐ Race/Ethnicity
- ☒ Gender
- ☐ Citizenship
- ☐ Non-U.S. Citizenship
- ☐ Biometric data
  - ☐ Fingerprints

- ☐ Voiceprints
- ☐ Retina scans/prints
- ☐ Photographs
- ☐ Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*
- ☐ Birth date/Age
- ☐ Place of birth
- ☐ Medical data
- ☐ Marital status
- ☐ Spousal information
- ☐ Miscellaneous family information
- ☐ Home address
- ☐ Home address history
- ☐ Home telephone number(s)
- ☐ Personal cell phone number(s)
- ☐ Personal fax number(s)
- ☒ Emergency contact data: First and/or second contact(s)'s name(s); home, work, and/or cell phone number(s), and/or pager number and pager P.I.N.; and e-mail 1 and e-mail 2 address(es).
- ☐ Credit card number(s)
- ☐ Driver's license number(s)
- ☐ Bank account(s)
- ☐ Personal e-mail address(es)
- ☐ Non-FCC personal employment records
- ☐ Military records
- ☐ Financial history
- ☐ Foreign countries visited
- ☐ Law enforcement data
- ☐ Background investigation history
- ☐ National security data
- ☐ Communications protected by legal privileges
- ☐ Digital signature
- ☒ Other information: Volunteer's Bureau/Office and Division, physical location, *e.g.*, office or workspace address, and FCC work telephone number, FCC cell phone number, and/or FCC pager number and pager P.I.N.

Information about Business Customers (usually not considered "personal information"):

- ☒ Not applicable
- ☐ Name of business contact/firm representative
- ☐ Business/corporate purpose(s)
- ☐ Other business/employment/job description(s)
- ☐ Job description
- ☐ Professional affiliations
- ☐ Partial SSN
- ☐ Intra-business office address (office or workstation)
- ☐ Business telephone number(s)
- ☐ Business cell phone number(s)
- ☐ Business fax number(s)
- ☐ Business e-mail address(es)
- ☐ Bill payee name
- ☐ Bank routing number(s)
- ☐ Income/Assets

☐ Web navigation habits
☐ Commercially obtained credit history data
☐ Commercially obtained buying habits
☐ Credit card number(s)
☐ Bank account(s)
☐ Other information:

1.9   What are the sources for the information that you are collecting:

☒ Personal information from FCC employees: FCC employees input their personal data
☒ Personal information from FCC contractors: Contractors working at the FCC input their personal data.
☒ Personal information from non-FCC individuals and/or households: Individuals volunteering at FCC input their personal data
☐ Non-personal information from businesses and other for-profit entities:
☐ Non-personal information from institutions and other non-profit entities:
☐ Non-personal information from farms:
☐ Non-personal information from Federal Government agencies:
☐ Non-personal information from state, local, or tribal governments:
☐ Other sources:

1.10   Will the information system obtain, use, store, analyze, *etc.* information about individuals *e.g*, personally identifiable information (PII), from other information systems, including both FCC and non-FCC information systems?

☐ Yes
☒ No

Please explain your response:

If the information system does not use any PII from other information systems, please skip to Question 1.15

1.11   If the information system uses information about individuals from other information systems, what information will be used?

☐ SSN
☐ Names:
☐ Citizenship:
☐ Biometric data
   ☐ Finger prints
   ☐ Voice prints
   ☐ Retina scan/prints
   ☐ Photographs
   ☐ Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*
☐ Birth date/Age
☐ Place of birth
☐ Medical data
☐ Marital status
☐ Spousal information
☐ Miscellaneous family information:
☐ Home address

- [ ] Home address history
- [ ] Home telephone number(s)
- [ ] Personal cell phone number(s)
- [ ] Personal fax number(s)
- [ ] Emergency contact data
- [ ] Credit card number(s)
- [ ] Driver's license
- [ ] Bank account(s)
- [ ] Personal e-mail address(es)
- [ ] Non-FCC personal employment records
- [ ] Non-FCC government badge number (employee ID)
- [ ] Law enforcement data
- [ ] Military records
- [ ] National security data
- [ ] Communications protected by legal privileges
- [ ] Financial history
- [ ] Foreign countries visited
- [ ] Background investigation history
- [ ] Digital signature
- [ ] Consumer/customer name
- [ ] Consumer/customer SSN
- [ ] Consumer/customer address
- [ ] Consumer/customer birthday/age
- [ ] Consumer/customer telephone number(s)
- [ ] Consumer/customer cell phone number(s)
- [ ] Consumer/customer telephone/cell phone/fax account number(s)
- [ ] Other information:

Information about Business Customers (usually not considered "personal information"):

- [ ] Not applicable
- [ ] Name of business contact/firm representative
- [ ] Business/corporate purpose(s)
- [ ] Job description
- [ ] Professional affiliations
- [ ] Partial SSN
- [ ] Intra-business office address (office or workstation)
- [ ] Business telephone number(s)
- [ ] Business cell phone number(s)
- [ ] Business fax number(s)
- [ ] Business e-mail address(es)
- [ ] Race/Ethnicity
- [ ] Gender
- [ ] Bill payee name
- [ ] Bank routing number(s)
- [ ] Income/Assets
- [ ] Web navigation habits
- [ ] Commercially obtained credit history data
- [ ] Commercially obtained buying habits
- [ ] Personal clubs and affiliations
- [ ] Credit card number(s)

☐ Bank account(s)
☐ Other information:

1.12 Will this information system derive new information, records, or data, or create previously unavailable information, records, or data, through aggregation or consolidation from the information that will now be collected via this link to the other system, including information, records, or data, that is being shared or transferred from the other information system(s)?

☐ Yes
☐ No

Please explain your response:

1.13 Can the information, whether it is: (a) in the information system, (b) in a linked information system, and/or (c) transferred from another system, be retrieved by a name or a "unique identifier" linked to an individual, *e.g.*, SSN, name, home telephone number, fingerprint, voice print, *etc.*?

☐ Yes
☐ No

Please explain your response:

1.14 Will the new information include personal information about individuals, *e.g.*, personally identifiable information (PII), be included in the individual's records or be used to make a determination about an individual?

☐ Yes
☐ No

Please explain your response:

1.15 Under the *Privacy Act of 1974*, as amended, 5 U.S.C. 552a, Federal agencies are required to have a System of Records Notice (SORN) for an information system like this one, which contains information about individuals, *e.g.*, "personally identifiable information" (PII).

A System of Records Notice (SORN) is a description of how the information system will collect, maintain, store, and use the personally identifiable information (PII).

Is there a SORN that already covers this PII in this information system?

☒ Yes
☐ No

If yes, what is this System of Records Notice (SORN): This SORN is now titled FCC/OMD-15, "Emergency Contact List."

Please provide the citation that was published in the *Federal Register* for the SORN: This SORN was published under its previous name as FCC/OMD-15, "Employee Locator System," 71 FR 17234,17258 (April 5, 2006).

If a SORN already covers this PII, please skip to **Section 2.0 System of Records Notice (SORN) Update** to address any changes to this SORN.

If a system of records notice (SORN) <u>does</u> <u>not</u> presently cover the information about individuals in this system, then it is necessary to determine whether a new FCC system of records notice must be created for the information.

1.16   If this information system is not covered by a system of records notice (SORN), does the information system exist by itself, or does it now, or did it previously exist as a component or subset of another SORN?

☐ Yes
☐ No

If yes, please explain what has occurred:

What is the System of Records Notice (SORN) of which it is currently or previously a component or subset:

Please also provide the citation that was published in the *Federal Register* for the SORN:

1.17   What are the purposes or functions that make it necessary to create a new a system of records notice (SORN) for this information system, *e.g.*, why is the information being collected?

1.18   Where is this information for the system of records notice (SORN) located?

1.19   Is the use of the information both relevant and necessary to the purposes for which the information system is designed, *e.g.*, is the SORN only collecting and using information for the specific purposes for which the SORN was designed so that there is no "extraneous" information included in the database(s) or paper files?

☐ Yes
☐ No

Please explain your response:

If yes, please skip to Question 1.21.

1.20   If not, why or for what reasons is the information being collected?

1.21   Is the information covered under a Security Classification as determined by the FCC Security Officer?

☐ Yes
☐ No

Please explain your response:

1.22   What is the legal authority that authorizes the development of the information system and the information/data collection?

1.23   In what instances would the information system's administrator/manager/developer permit disclosure to those groups outside the FCC for whom the information was not initially intended.

Such disclosures, which are referred to as "Routine Uses," are those instances that permit the FCC to disclose information from a SORN to specific "third parties." These disclosures may be for the following reasons:
(check all that are applicable)

- [ ] Adjudication and litigation:
- [ ] Committee communications:
- [ ] Compliance with welfare reform requirements:
- [ ] Congressional inquiries:
- [ ] Emergency response by medical personnel and law enforcement officials:
- [ ] Employment, security clearances, licensing, contracts, grants, and other benefits by the FCC:
- [ ] Employment, security clearances, licensing, contracts, grants, and other benefits upon a request from another Federal, state, local, tribal, or other public authority, *etc.*:
- [ ] FCC enforcement actions:
- [ ] Financial obligations under the Debt Collection Act:
- [ ] Financial obligations required by the National Finance Center:
- [ ] First responders, *e.g.*, law enforcement, DHS, FEMA, DOD, NTIA, *etc.*:
- [ ] Government-wide oversight by NARA, DOJ, and/or OMB:
- [ ] Labor relations (NTEU):
- [ ] Law enforcement and investigations:
- [ ] Program partners, e.g., WMATA, *etc.*:
- [ ] Breach of Federal data:
- [ ] Others "third party" disclosures:

1.24   Will the information be disclosed to consumer reporting agencies?
- [ ] Yes
- [ ] No

Please explain your response:

1.25   What are the policies for the maintenance and secure storage of the information?

1.26   How is information in this system retrieved?

1.27   What policies and/or guidelines are in place on how long the bureau/office will retain the information?

1.28   Once the information is obsolete or out-of-date, what policies and procedures have the system's managers/owners established for the destruction/purging of the data?

1.29   Have the records retention and disposition schedule(s) been issued or approved by the National Archives and Records Administration (NARA)?

☐ Yes
☐ No

Please explain your response:

If a NARA records retention and disposition schedule has been approved for this System of Records Notice (SORN), please skip to **Section 2.0 System of Records Notice (SORN) Update**:

1.30   If there is no NARA approved records retention and disposal schedule, has there been any coordination with the Performance Evaluation and Records Management Branch (PERM) or the Records Officer?

☐ Yes
☐ No

Please explain your response:

If this is a new System of Records Notice (SORN), please skip to **Section 3.0 Development, Management, and Deployment and/or Sharing of the Information**:

Section 2.0 System of Records Notice (SORN) Update:

If a System of Records Notice (SORN) currently covers the information, please provide information to update and/or revise the SORN:

2.1   Have there been any changes to the Security Classification for the information covered by the system of records notice (SORN) from what was originally determined by the FCC Security Officer?

☐ Yes
☒ No

Please explain your response:

FCC/OMD-15, "Emergency Contact List," SORN has not been assigned a Security Classification.

2.2   Have there been any changes to the location of the information covered by the system of records notice (SORN)?

☐ Yes
☒ No

Please explain your response:

FCC/OMD-15, "Emergency Contact List," SORN is still maintained by the Human Resources Management division of the Office of the Managing Director (OMD–HRM).

2.3   Have there been any changes to the categories of individuals covered by the system of records notice (SORN)?

☒ Yes
☐ No

Please explain your response:

FCC/OMD-15, "Emergency Contact List," SORN now includes personal contact information that FCC employees, individuals who volunteer at the FCC, and contractors working at the FCC may input voluntarily into the electronic database.

2.4   Have there been any changes to the categories of records, *e.g.*, types of information (or records) that the system of records notice (SORN) collects, maintains, and uses?

☐ Yes
☒ No

Please explain your response:

The categories of records in FCC/OMD-15, "Emergency Contact List," SORN now include FCC employees, individuals who volunteer at the FCC, and contractors working at the FCC. Individuals in these three groups may input information into the database for their emergency contact information. Participation in this program is entirely volunary—FCC employees, volunteers, and contractors are not required to participate.

2.5   Have there been any changes to the legal authority under which the FCC collects and maintains the information covered by the system of records notice (SORN)?

☐ Yes
☒ No

Please explain your response:

The legal authority under which FCC/OMD-15, "Emergency Contact List," SORN collects, maintains, and uses the personally identifiable information (PII), includes Homeland Security Act of 2002 (P.L. 107-296, 2002); Executive Order (EO) 12656, Assignment of Emergency Preparedness Responsibilities, November 18, 1988; and Presidential Decision Directive 67, Enduring Constitutional Government and Continuity of Government Operations, October 21, 1998.

2.6   Have there been any changes to the purposes for collecting, maintaining, and using the information covered by the system of records notice (SORN)?

☐ Yes
☒ No

Please explain your response:

As provided in FCC/OMD-15, "Emergency Contact List," SORN, FCC employees, individuals who volunteer at the FCC, and contractors working at the FCC may input information, on a voluntary basis, to be used to contact the individual(s) whom they have designated in case of a medical or other emergency.

2.7   Have there been any changes to the Routine Uses under which disclosures are permitted to "third parties" as noted in the system of records notice (SORN)?

☒ Yes
☐ No

If the Routine Uses have changed, what changes were made:
(check all that apply and explain the changes)

☐ Not applicable—there have been no changes to the Routine Uses
☒ Adjudication and litigation:
☐ Committee communications:
☐ Compliance with welfare reform requirements:
☒ Congressional inquiries:
☒ Emergency response by medical personnel and law enforcement officials:
☐ Employment, security clearances, licensing, contracts, grants, and other benefits by the FCC:
☐ Employment, security clearances, licensing, contracts, grants, and other benefits upon a request from another Federal, state, local, tribal, or other public authority, *etc.*:
☐ FCC enforcement actions:
☐ Financial obligations under the Debt Collection Act:
☐ Financial obligations required by the National Finance Center:
☐ First responders, *e.g.*, law enforcement, DHS, FEMA, DOD, NTIA, *etc.*:
☒ Government-wide oversight by NARA, DOJ, and/or OMB:
☐ Labor relations:
☒ Law enforcement and investigations:
☐ Program partners, *e.g.*, WMATA:
☒ Breach of Federal data: Required by OMB Memorandum M-07-16 (May 22, 2007)
☐ Others Routine Use disclosures not listed above:

2.8   Have there been any changes to whether the FCC will permit the information covered by the system of records notice (SORN) can be disclosed to consumer reporting agencies?

☐ Yes
☒ No

Please explain your response:

The FCC does not permit information in FCC/OMD-15, "Emergency Contact List," SORN to be disclosed to consumer reporting agencies.

2.9   Have there been any changes to the policies and/or guidelines for the storage and maintenance of the information covered by this system of records notice (SORN)?

☐ Yes
☒ No

Please explain your response:

Information in FCC/OMD-15, "Emergency Contact List," SORN is still maintained in the FCC's network computer database.

2.10   Have there been any changes to how the information covered by the system of records notice (SORN) is retrieved or otherwise accessed?

☐ Yes
☒ No

Please explain your response:

Information in FCC/OMD-15, "Emergency Contact List," SORN is accessed by the name of the FCC employee, individual volunteer, and/or contractor working at the FCC, organizational unit, *e.g.*, bureau/office, division, and office/workstation address.

2.11   Have there been any changes to the safeguards that the system manager has in place to protect
        unauthorized access to the information covered by the system of records notice (SORN)?

        ☒ Yes
        ☐ No

        Please explain your response:

        Electronic records in FCC/OMD-15, "Emergency Contact List," SORN are maintained in a network
        computer database. The database's records are secured through controlled access and passwords.
        Administrative access to the records is restricted. FCC employees, and volunteers and contractors who
        input personal information have the right to access their own information. In addition, certain staff in
        the Human Resources Management (HRM), Office of the Managing Director (OMD), and Information
        Technology (IT), who are authorized under a "need to know" capacity as part of their job responsibilities
        have "basic administrative access" so that they can verify if the FCC employee, individual volunteer, or
        contractor working at the FCC has input data and can also verify the information of the individual in
        case of an emergency. Other HRM staff have authority to manage the information input by the FCC
        employee, student intern, or contractor, including authority to add or to delete information and to verify
        the accuracy of the information, as required.

Please note that you must also provide an update of the current protections, safeguard, and other security
measures that are in place in this SORN in **Section 5.0 Safety and Security Requirements:**

2.12   Have there been any changes to the records retention and disposition schedule for the information
        covered by the system of records notice (SORN)? If so, has the system manager worked with the
        Performance Evaluation and Records Management (PERM) staff to insure that this revised schedule
        been approved by the National Archives and Records Administration (NARA)?

        ☐ Yes
        ☒ No

        Please explain your response:

        The PERM staff has reviewed FCC/OMD-15, "Emergency Contact List," SORN and has determined
        that the SORN meets the terms and conditions of the NARA General Records Schedule 1. The records
        in this SORN are limited to electronic data. There are no paper files, nor are records stored on other
        types of records media such as diskettes or tapes, *etc.* This NARA Schedule 1 may be viewed at:
        http://www.archives.gov/records-mgmt/ardor/grs01.html.

Section 3.0 Development, Management, and Deployment and/or Sharing of the Information:

3.1   Who will develop the information system(s) covered by this system of records notice (SORN)?

        ☒ Developed wholly by FCC staff employees:
        ☐ Developed wholly by FCC contractors:
        ☐ Developed jointly by FCC employees and contractors:
        ☐ Developed offsite primarily by non-FCC staff:
        ☐ COTS (commercial-off-the-shelf-software) package:
        ☐ Other development, management, and deployment/sharing information arrangements:

3.2   Where will the information system be hosted?

        ☒ FCC Headquarters
        ☒ Gettysburg
        ☐ San Diego

☐ Colorado
☐ New York
☐ Columbia Lab
☐ Chicago
☐ Other information:

3.3   Who will be the primary manager(s) of the information system who will be responsible for assuring access to, proper use of, and protecting the security and integrity of the information?
(Check all that apply and provide a brief explanation)

☒ FCC staff in this bureau/office exclusively: Human Resources Management (HRM) staff has responsibility for access and proper use of the information. However, it is the responsibility of FCC employees, individual volunteers, and contractors to insure that the information they input is correct.

☒ FCC staff in other bureaus/offices: Administrative staff at the FCC's Gettysburg facilities will have access to the information, as directed by the HRM staff.

☒ Information system administrator/Information system developers: The IT staff has responsibility for protecting the security and integrity of the information.

☒ Contractors: Contractors working in the IT division of the Office of the Managing Director.

☐ Other information system developers, *etc*:

3.4   What are the FCC's policies and procedures that the information system administrators and managers use to determine who gets access to the information in the system's files and/or database(s)?

Participation in the FCC/OMD-15, "Emergency Contact List" SORN is purely voluntary. FCC employees, individual volunteers, and contractors working at the FCC may input their own data into the information system's electronic database. FCC employees, individual volunteers, and contractors who participate choose a password that allows them to access their own personal information. Access to these records by staff in Human Resources Management, Office of the Managing Director, and Information Technology is based on "need to know" criteria. At the basic administrative level, these staff may have access to verify if an employee, volunteer, or contractor has input data and to verify this information in case of an emergency. At a higher administrative level, these staff manage the electronic database, and are authorized to add, to delete, and/or to verify information input by the FCC employee, individual volunteer, or contractor working at the FCC.

3.5   How much access will users have to data in the information system(s)?

☐ Access to all data:

☒ Restricted access to data, as determined by the information system manager, administrator, and/or developer: FCC employees, individual volunteers, and contractors who participate voluntarily in this program, receive a password that allows them to access only their personal contact information.

☐ Other access policy:

3.6   Based on the Commission policies and procedures, which user group(s) may have access to the information at the FCC:
(Check all that apply and provide a brief explanation)

☒ Information system managers: Staff in Human Resources Management (HRM), Office of the Managing Director (OMD), and Information Technology (IT).

☒ Information system administrators: The IT system administrators include both FCC employees and contractors who manage the IT systems that hold the information.

☐ Information system developers:

☒ FCC staff in this bureau/office: FCC employees and individuals who volunteer at the FCC may have access to their own data.

☐ FCC staff in other bureaus/offices:

☐ FCC staff in other bureaus/offices in FCC field offices:

☒ Contractors: Contractors working at the FCC may have access to their own data.

☐ Other Federal agencies:

☐ State and/or local agencies:

☐ Businesses, institutions, and other groups:

☐ International agencies:

☐ Individuals/general public:

☐ Other groups:

3.7   If contractors are part of the staff in the FCC who collect, maintain, and access the information, does the IT supervisory staff ensure that contractors adhere fully to the Privacy Act provisions, as required under subsection (m) of the Privacy Act, as amended, 5 U.S.C. 552a(m)?

☒ Yes
☐ No

Please explain your response:

The FCC's Information Technology (IT) supervisory staff provide periodic privacy training to the IT contractors.

3.8   Has the Office of the General Counsel (OGC) signed off on any Section M contract(s) for any contractors who work with the information system covered by this system of records notice (SORN)?

☐ Yes
☒ No

Please explain your response:

The contacts that cover the IT contractors who manage the data in this information system covered by FCC/OMD-15, "Emergency Contact List," SORN include a requirement that they abide by Section M of the Privacy Act, 5 U.S.C. 552a(m).

3.9   Does the information system covered by this system of records noticed (SORN) transmit/share personal information, *e.g.*, personally identifiable information (PII), between the FCC information technology (IT) network(s) and a public or other non-FCC IT network(s), which are not covered by this Privacy Impact Assessment?

☐ Yes
☒ No

Please explain your response:

The information in the electronic database covered by FCC/OMD-15, "Emergency Contact List," SORN is limited to the personal contact information that FCC employees, individuals who volunteer at the FCC, and contractors working at the FCC input on a voluntary basis. No data are shared with other parties nor are data transmitted outside the FCC.

If there is no information sharing or transmission, please skip to **Section 4.0 Data Quality, Utility, Objectivity, and Integrity Requirements:**

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3.10   If the information system covered by this system of records noticed (SORN) transmits/shares personal information between the FCC network and a public or other non-FCC network, which is not covered by this Privacy Impact Assessment, what information is shared/transmitted/disclosed and for what purposes?

3.11   If there is such transmission/sharing of personal information, how is the information secured for transmission—what security measures are used to prevent unauthorized access during transmission, *i.e.*, encryption, *etc.*?

3.12   If there is sharing or transmission to other information systems, with what other non-FCC organizations, groups, and individuals will the information be shared?
(Check all that apply and provide a brief explanation)

☐ Other Federal agencies:
☐ State, local, or other government agencies:
☐ Businesses:
☐ Institutions:
☐ Individuals:
☐ Other groups:

If there is no "matching agreement," *e.g., Memorandum of Understand (MOU), etc.,* please skip to **Section 4.0 Data Quality, Utility, Objectivity, and Integrity Requirements:**

3.13   What kind of "matching agreement," *e.g., Memorandum of Understanding (MOU), etc.,* as defined by 5 U.S.C. 552a(u) of the Privacy Act, as amended, is there to cover the information sharing and/or transferal with the external organizations?

3.14   Is this a new or a renewed matching agreement?

☐ New matching agreement
☐ Revised matching agreement

Please explain your response:

3.15   Has the matching agreement been reviewed and approved (or renewed) by the FCC's Data Integrity Board, which has administrative oversight for all FCC matching agreements?

☐ Yes
    If yes, on what date was the agreement approved:
☐ No

Please explain your response:

3.17   How is the information that is covered by this system of records notice (SORN) transmitted or disclosed with the external organization(s) under the *MOU* or other "matching agreement?"

3.18   How is the shared information secured by the recipient under the *MOU*, or other "matching agreement?"

Section 4.0 Data Quality, Utility, Objectivity, and Integrity Requirements:

OMB regulations require Federal agencies to insure that the information/data that they collect and use meets the highest possible level of quality and integrity. It is important, therefore, that the information the Commission's information systems use meets the "benchmark standards" established for the information.

4.1   How will the information that is collected from FCC sources, including FCC employees and contractors, be checked for accuracy and adherence to the Data Quality guidelines?
(Please check all that apply)

☒ Information is processed and maintained only for the purposes for which it is collected.
☐ Information is reliable for its intended use(s).
☐ Information is accurate.
☐ Information is complete.
☒ Information is current.
☐ Not applicable:

Please explain any exceptions or clarifications:

The information in FCC/OMD-15, "Emergency Contact List," SORN database is limited to the personal contact information that FCC employees, individuals who volunteer at the FCC, and contractors working at the FCC input on a voluntary basis. Employees, volunteers, and contractors are responsible for the accuracy of their information. Certain staff in HRM, OMD, Public Safety and Homeland Security Bureau (PSHSB), and IT, who are authorized as part of their job responsibilities on a "need to know" basis have access to the information so that they may verify whether an FCC employee, volunteer, or contractor has input data and may also verify this information in case of an emergency. Other higher level HRM administrative staff are authorized to add, to delete, and/or otherwise to manage the information in the database, including erasing the information after the FCC employee, volunteer, or contractor has left the FCC. Otherwise, the Data Quality Guidelines do not impact this SORN.

If the Data Quality Guidelines do not apply to the information in this information system, please skip to
Section 5.0 Safety and Security Requirements:

4.2   Is any information collected from non-FCC sources; if so, how will the information sources be checked for accuracy and adherence to the Data Quality guidelines?
(Please check all that apply and provide an explanation)

☐ Yes, information is collected from non-FCC sources:
    ☐ Information is processed and maintained only for the purposes for which it is collected:
    ☐ Information is reliable for its intended use(s):
    ☐ Information is accurate:
    ☐ Information is complete:
    ☐ Information is current:
☐ No information comes from non-FCC sources:

4.3   If the information that is covered by this system of records notice (SORN) is being aggregated or consolidated, what controls are in place to insure that the information is relevant, accurate, and complete?

☐ Not applicable.

Please explain your response:

4.4.   What policies and procedures do the information system's administrators and managers use to insure that the information adheres to the Data Quality guidelines both when the information is obtained from its sources and when the information is aggregated or consolidated for the use by the bureaus and offices?

☐ Not applicable.

Please explain your response:

4.5   How often are these policies and procedures checked routinely—what type of annual verification schedule has been established?

☐ Not applicable.

Please explain your response:

Section 5.0 Safety and Security Requirements:

5.1   How are the records/information/data in the information system covered by this system of records notice (SORN) stored and maintained?

☒ IT database management system (DBMS)
☐ Storage media including diskettes, CDs, CD-ROMs, *etc.*
☐ Electronic tape
☐ Paper files
☐ Other:

5.2   Is the information collected, stored, analyzed, or maintained by this information system available in another form or from another source (other than a "matching agreement" or *MOU*, as noted above)?

☐ Yes
☒ No

Please explain your response:

5.3   Is the information system covered by this system of records notice (SORN) part of another FCC information system that collects personally identifiable information (PII)?

☐ Yes
☒ No

Please explain your response:

If this information system is not part of another FCC information system, please skip to Question 5.7.

5.4   If the information system (under review here) has personally identifiable information (PII) and is part of another FCC information system, is there a transfer of records/data/information between these two FCC information system(s)?

☐ Yes
☐ No

Please explain your response:

5.5   If the information system's personally identifiable information (PII) is part of another FCC information system, does the information system have processes and/or applications that are part of those from the other FCC information systems?

☐ Yes
☐ No

Please explain your response:

5.6   If either or both such situations, as noted in Questions 5.4 and 5.5 exist, what security controls are there to protect the PII information and to prevent unauthorized access?

☐ Not applicable.

Please explain your response:

5.7   Would the unavailability of this information system prevent the timely performance of FCC operations?

☐ Yes
☒ No

Please explain your response:

The information that FCC employees, individuals who volunteer at the FCC, and contractors working at the FCC input into this electronic database covered by FCC/OMD-15, "Emergency Contact List," SORN is only for personal uses in the event of a medical or other emergency, which would allow the FCC to contact those who are listed by the employee, volunteer, or contractor in such emergency situations.

5.8   Will the information system include an externally facing information system or portal such as an Internet accessible web application at www.fcc.gov that allows customers/users to access development, production, or internal FCC networks, and which may pose potential risks to the information's security?

☐ Yes
☒ No

Please explain your response:

The database covered by FCC/OMD-15, "Emergency Contact List" SORN does not include any external access portals. FCC employees, volunteers and contractors access the database via their office/workstation personal computer.

If there are no externally facing information system portal at www.fcc.gov, please skip to Question 5.11.

5.9   If the information is collected via www.fcc.gov from the individuals, how does the information system notify users about the Privacy Notice:

☐ Link to the FCC's privacy policies for all users:
☐ Privacy notice displayed on the webpage:
☐ Privacy notice printed at the form or document:
☐ Website uses another method to alert users to the Privacy Act Notice, as follows:
☐ If there is no link or notice, why not:

5.10   If a privacy notice is displayed, which of the following are included?

☐ Proximity and timing—the privacy notice is provided at the time and point of data collection.
☐ Purpose—describes the principal purpose(s) for which the information will be used.
☐ Authority—specifies the legal authority that allows the information to be collected.
☐ Conditions—specifies whether providing the information is voluntary, and the effects, if any, of not providing it.
☐ Disclosures—specifies the routine use(s) that may be made of the information.
☐ Not applicable, as information will not be collected in any other way.

Please explain your response:

5.11   Will the information system include another customer-facing web site not on www.fcc.gov?

☒ Yes
☐ No

Please explain your response:

The database covered by FCC/OMD-15, "Emergency Contact List," SORN has a FCC Intranet customer-facing data entry portal that may be access via the employee, volunteer, or contractor's office/workstation personal computer. This data entry portal is not accessable outside the FCC's IT network.
If the information is not collected via the FCC Intranet for FCC employees and contractors working at the FCC, please skip to Question 5.14.

5.12   If the information system has a customer-facing web site via the FCC Intranet for FCC employees and contractors working at the FCC, does this web site(s) have a Privacy Act Notice and how is it displayed?

☒ Yes
    ☒ Notice is displayed prominently on this FCC Intranet website:

☒ Link is provided to a general FCC Privacy Notice for all users:
☐ Privacy Notice is printed at the end of the form or document:
☐ Website uses another method to alert users to the Privacy Act Notice:
☐ No

If there is no Privacy Act Notice, please explain why not:

5.13   If a privacy notice is displayed, which of the following information is included?

☒ Proximity and timing—the privacy notice is provided at the time and point of data collection.
☒ Purpose—describes the principal purpose(s) for which the information will be used.
☒ Authority—specifies the legal authority that allows the information to be collected.
☒ Conditions—specifies if providing the information is voluntary, and the effects, if any, of not providing it.
☒ Disclosures—specifies the routine use(s) that may be made of the information.
☐ Not applicable, as information will not be collected in any other way.

Please explain your response:

If information is <u>not</u> collected via a customer-facing portal on the FCC Internet at <u>www.fcc.gov</u> or the FCC Intranet for FCC employees and contractors, please skip to Question 5.16.

5.14   If information is collected from the individual by fax, e-mail, FCC form(s), or regular mail, how is the privacy notice provided?

☐ Privacy notice is on the document, *e.g.*, FCC form, *etc.*
☐ Privacy notice displayed on the webpage where the document is located:
☐ Statement on the document notifies the recipient that they may read the FCC Privacy Notice at <u>www.fcc.gov</u>.
☐ Website or FCC document uses other method(s) to alert users to the Privacy Act Notice:
☒ Privacy notice is provided via a recorded message or given verbally by the FCC staff handling telephone calls:
☐ No link or notice, please explain why not:
☐ Not applicable, as personally identifiable information (PII) will not be collected.

5.15   If a privacy notice is displayed, which of the following information is included?

☐ Proximity and timing—the privacy notice is provided at the time and point of data collection.
☐ Purpose—describes the principal purpose(s) for which the information will be used.
☐ Authority—specifies the legal authority that allows the information to be collected.
☐ Conditions—specifies if providing the information is voluntary, and the effects, if any, of not providing it.
☐ Disclosures—specifies the routine use(s) that may be made of the information.
☐ Not applicable, as information will not be collected in any other way.

Please explain your response:

If there is no access to the information system from outside the FCC, please skip to Question 5.17.

5.16   If consumers may access the information and/or the information system on-line via www.FCC.gov, does it identify ages or is it directed to people under 13 years old?

☐ Not applicable, as information is not accessed via www.FCC.gov.
☐ Yes
☐ No

Please explain your response:

5.17   Will the FCC use the newly obtained information or revised information in this information covered by the existing system of records notice (SORN) to make a determination about the individual?

☐ Yes
☒ No

Please explain your response:

Participation in the information system covered by FCC/OMD-15, "Emergency Contact List," SORN database is strictly voluntary. The personal contact information that FCC employees, individuals volunteering at the FCC, and contractors working at the FCC choose to input into the database is at their discretion.

5.18   Do individuals have the right to decline to provide personally identifiable information (PII)?

☒ Yes
☐ No

Please explain your response:

Participation in this information system covered by FCC/OMD-15, "Emergency Contact List," SORN database is strictly voluntary—no FCC employee, volunteer, or contractor working at the FCC is required to participate.

5.19   Do individuals have the right to consent to particular uses of their personal information?

☒ Yes
☐ No

Please explain your response:

Since participation in voluntary, FCC employees, volunteers, and contractors have the option to provide as much or as little information as they choose for this database. The FCC will only use this information to contact those individuals who are listed in case of an emergency situation.

If individuals do not have the right to consent to the use of their information, please skip to Question 5.23.

5.20   If individuals have the right to consent to the use of their personal information, how does the individual exercise this right?

FCC employees, volunteers, and contractors may choose not to participate, as participation is voluntary, and participants may provide as much or as little information as they choose, *e.g.*, they may fill out all the contact information blanks or only a few of them.

5.21   What processes are used to notify and to obtain consent from the individuals whose personal information is being collected?

FCC employees, volunteers, and contractors may choose not to participate, as participation is voluntary, which is noted at the portal site.

5.22   What kinds of report(s) can the information system and/or the information be used to produce on the individuals whose PII data are in the information system covered by the system of records notice (SORN)?

The information system cover by FCC/OMD-15, "Emergency Contact List," SORN is used solely to allow FCC employees, individuals who volunteer at the FCC, and contractors working at the FCC, who have chosen to input, on a voluntary basis, their personal contact information. This information may be used to notify or contact such individuals in the event of a medical or other emergency. The FCC may use the data in such cases of emergency or other similar circumstances when it is necessary to notify the contact(s). The FCC has no other uses for this information.

5.23   What safeguards and security measures, including physical and technical access controls, are in place to secure the information and to minimize unauthorized access, use, or dissemination of the information that is stored and maintained in the information system?
(Check all that apply)

☒ Account name
☒ Passwords
    ☐ Accounts are locked after a set period of inactivity
    ☒ Passwords have security features to prevent unauthorized disclosure, *e.g.*, "hacking"
    ☐ Accounts are locked after a set number of incorrect attempts
    ☐ One time password token
    ☐ Other security features:
☐ Firewall
☐ Virtual private network (VPN)
☐ Data encryption
☐ Intrusion detection application (IDS)
☐ Common access cards (CAC)
☐ Smart cards
☐ Biometrics
☐ Public key infrastructure (PKI)
☐ Locked file cabinets or fireproof safes
☐ Locked rooms, with restricted access when not in use
☐ Locked rooms, without restricted access
☐ Documents physically marked as "sensitive"
☐ Guards
    ☐ Identification badges
    ☐ Key cards
    ☐ Cipher locks
    ☐ Closed circuit TV (CCTV)
    ☐ Other:

5.24   Please explain what staff security training and other measures are in place to assure that the security and privacy safeguards are maintained adequately?

All FCC employees and contractors who work with the information system covered under FCC/OMD-15, "Emergency Contact List," SORN are required to complete privacy training. In addition the Human

Resources Management (HRM) staff emphasizes to those with access that this information is not to be shared or disclosed.

5.25   How often are security controls reviewed?

☐ Six months or less
☒ One year
☐ Two years
☐ Three years
☐ Four years
☐ Five years
☐ Other:

5.26   How often are personnel (information system administrators, users, information system/information system developers, contractors, *etc.*) who use the information system trained and made aware of their responsibilities for protecting the information?

☐ There is no training
☒ One year
☐ Two years
☐ Three years
☐ Four years
☐ Five years
☒ Other: The FCC has also inaugerated a Commission-wide Privacy Training program, and all employees and contractors were required to complete the privacy training course in September 2006.

If privacy training is provided, please skip to Question 5.28.

5.27   What are the safeguards to insure that there are few opportunities for disclosure, unavailability, modification, and/or damage to the information system covered by this system of records notice (SORN), and/or prevention of timely performance of FCC operations if operational training is not provided?

5.28   How often must staff be "re-certified" that they understand the risks when working with personally identifiable information (PII)?

☐ Less than one year
☒ One year
☐ Two years
☐ Three or more years
☐ Other re-certification procedures:

5.29   Do the Commission's training and security requirements for this information system that is covered by this system of records notice (SORN) conform to the requirements of the Federal Information Security Management Act (FISMA)?

☒ Yes
☐ No

Please explain your response:

The FCC/OMD-15, "Emergency Contact List," SORN and all its procedures covering the PII data will conform to FISMA requirements.

If the Privacy Threshold Assessment was completed recently as part of the information system's evaluation, please skip to Question 5.34.

5.30   What is the potential impact on individuals on whom the information is maintained in the information system(s) if unauthorized disclosure or misuse of information occurs? (check one)

    ☒ Results in little or no harm, embarrassment, inconvenience, or unfairness to the individual.
    ☐ Results in moderate harm, embarrassment, inconvenience, or unfairness to the individual.
    ☐ Results in significant harm, embarrassment, inconvenient, or unfairness to the individual.

Please explain your response:

Since participation in the information system covered by FCC/OMD-15, "Emergency Contact List," SORN is voluntary. The FCC employees, individual volunteers, and contractors working at the FCC decide how much information they wish to input into the database. This database does not include the FCC employee, volunteer, or contactor's Social Security Number, personal financial data, or any other such sensitive personal information.

5.31   Is the impact level for the information system(s) covered by this system of records notice (SORN) consistent with the guidelines as determined by the FIPS 199 assessment?

    ☒ Yes
    ☐ No

Please explain your response:

5.32   Has a "Certification and Accreditation" (C&A) been completed for the information system(s) covered this system of records notice (SORN)?

    ☐ Yes
    ☒ No

If yes, please explain your response and give the C&A completion date:

The information system covered by FCC/OMD-15, "Emergency Contact Information," SORN does not require a C&A.

5.33   Has the Chief Information Officer (CIO) and/or the Chief Security Officer (CSO) designated this information system as requiring one or more of the following:

    ☐ Independent risk assessment:
    ☐ Independent security test and evaluation:
    ☐ Other risk assessment and/or security testing procedures, etc.:
    ☒ Not applicable: The information system covered by FCC/OMD-15, "Emergency Contact Information," SORN has not received any such designation

5.34   Is the system using technology in ways that the Commission has not done so previously, *i.e.*, Smart Cards, Caller-ID, *etc*?

☐ Yes
☒ No

Please explain your response:

5.35   How does the use of the technology affect the privacy of the general public and FCC employees and contractors?

The information in the database covered by FCC/OMD-15, "Emergency Contact List," SORN is provided by FCC employees, individuals who volunteer at the FCC, and contractors working at the FCC on a voluntary basis, to be used in case of a medical or other emergency. The information that is input is limited to each person's contact information. The FCC's Human Resources Management (HRM) staff will only use this information in such emergency situations.

5.36   Will the information system that is covered by this system of records notice (SORN) include a capability to identify, locate, and/or monitor individuals?

☒ Yes
☐ No

Please explain your response:

The information that is covered by FCC/OMD-15, "Emergency Contact List," SORN is limited to the contact information input by FCC employees, volunteers, and contractors working at the FCC, including their Bureau/Office, division, and office/workstation address, so that those who are participating may be located quickly in the FCC's buildings and facilities in emergency situations. The FCC's Human Resources Management (HRM) staff will only use this information in emergency situations.

If the information system does not include any monitoring capabilities, please skip to **Section 6.0 Information Collection Requirements under the Paperwork Reduction Act (PRA):**

5.37   If the information system includes these technical capabilities identified in Questions 5.34 through 5.36 above, what kinds of information will be collected as a function of the monitoring of individuals?

The information that is covered by FCC/OMD-15, "Emergency Contact List," SORN includes the FCC employee, volunteer, and/or contractor's Bureau/Office, division, and office/workstation address, so that these participating individuals may be located quickly in the FCC's buildings and facilities in emergency situations. The FCC's Human Resources Management (HRM) staff will only use this information in emergency situations.

5.38   Does the information system covered by this system of records notice (SORN) contain any controls, policies, and procedures to prevent unauthorized monitoring?

☐ Yes
☒ No

Please explain your response:

Personally identifiable information in FCC/OMD-15, "Emergency Contact List," SORN, is limited to the emergency contact data, which FCC employees, volunteers, and contractors input. The FCC's HRM, which administers this information system, will only use the emergency contact information in the event

of an emergency involving the individual participant. The information system does not include any monitoring capabilities.

Section 6.0 Information Collection Requirements under the Paperwork Reduction Act (PRA):

6.1   Does this system of records notice (SORN) require non-FCC employees and contractors to perform any paperwork or recordkeeping activities?

☐ Yes, individuals, who are <u>not</u> FCC employees or contractions, are required to complete paperwork or recordkeeping functions or activities, *i.e.*, fill out forms and/or licensees, participate in surveys, and or maintain records *etc.*

Please explain your response:

☐ No, individuals, who are <u>not</u> FCC employees or contractors, are <u>not</u> required to perform any paperwork or recordkeeping functions or activities

Please explain your response:

☒ No, this system of records notice includes <u>only</u> FCC employees and/or contractors, which exempts it from the PRA. Please skip to **Section 7.0 Correction and Redress:**

6.2   If the website requests information, such as the information necessary to complete an FCC form, license, authorization, *etc.*, has the information collection covered by this system of records notice (SORN) been identified for possible inclusion under the FCC's Paperwork Reduction Act (PRA) requirements?

☐ Yes
☐ No

Please explain your response:

If there are no PRA information collections associated with the information system or its applications, please skip to **Section 7.0 Correction and Redress:**

6.3   If yes, what PRA information collections covered by this system of records notice (SORN) are associated with this database please list the OMB Control Number, Title of the collection, Form number(s) as applicable, and Expiration date:

6.4   If there are any FCC forms associated with the information system(s) covered by this system of records notice (SORN), do the forms carry the Privacy Act notice?

☐ Yes

FCC Form Number(s) and Title(s):

☐ No
☐ Not applicable—the information collection does not include any forms.

6.5   Have the system managers contacted the Performance Evaluation and Records Management (PERM) staff to coordinate PRA requirements and submission of the information collection to the Office of Management and Budget?

☐ Yes
☐ No

Please explain your response:

Section 7.0 Correction and Redress:

7.1   Are the procedures for individuals wishing to inquire whether this system of records notice (SORN) contains information about them consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.554 – 0.555 for the Privacy Act and Freedom of Information Act (FOIA) requirements?

☒ Yes
☐ No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

FCC employees and contractors working at the FCC who have entered data voluntarily may address their inquiries to the system manager or the Assistant Managing Director in the Human Resources Management division of the Office of the Managing Director (OMD-HRM) for FCC/OMD-15, "Emergency Contact List," SORN. This is consistent with FCC rules under 47 CFR §§ 0.554 – 0.555 for the Privacy Act, as noted in this SORN.

7.2   Are the procedures for individuals to gain access to their own records/information/data in this information system that is covered by this system of records notice (SORN) consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.554 – 0.555 for the Privacy Act and Freedom of Information Act (FOIA) requirements?

☒ Yes
☐ No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

Participation in the information system covered by FCC/OMD-15, "Emergency Contact List," SORN, is voluntary. Nonetheless, individuals seeking access to the information about them in the FCC/OMD-15, "Emergency Contact List," SORN should contact the system manager or the Assistant Managing Director in the Human Resources Management division of the Office of the Managing Director (OMD-HRM). This is consistent with FCC policies and rules under 47 CFR §§ 0.554 – 0.555, as noted in the SORN.

7.3   Are the procedures for individuals seeking to correct or to amend records/information/data about them in the information system that is covered by this system of records notice (SORN) consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.556 – 0.558?

☒ Yes
☐ No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

Individuals seeking to correct or to amend information about them in the FCC/OMD-15, "Emergency Contact List," SORN should contact the system manager or the Assistant Managing Director in the Human Resources Management division of the Office of the Managing Director (OMD-HRM). This is consistent with FCC policies and rules under 47 CFR §§ 0.554 – 0.555, as noted in the SORN.

7.4   Does the FCC provide any redress to amend or correct information about an individual covered by this system of records notice (SORN), and if so, what alternatives are available to the individual, and are these consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.556 – 0.558?

☒ Yes
☐ No

Please explain your response:

Individuals seeking any redress to amend or correct information about them in FCC/OMD-15, "Emergency Contact List," SORN should contact the system manager or the Assistant Managing Director in the Human Resources Management division of the Office of the Managing Director (OMD-HRM). This is consistent with FCC policies and rules under 47 CFR §§ 0.554 – 0.555, as noted in the SORN.

If this is a new system of records notice (SORN), please skip to Question 7.6.

7.5   Have the sources for the categories of records in the information system(s) covered by this system of records notice (SORN) changed?

☒ Yes
☐ No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

FCC/OMD-15, "Emergency Contact List," SORN has been revised to include individuals who volunteer at the FCC and contractors working at the FCC as two additional sources of the information included in the categories of individuals who are covered by this SORN.

7.6   Does this system of records notice (SORN) claim any exemptions to the notification, access, and correction, and/or amendment procedures as they apply to individuals seeking information about them in this SORN, and if so, are these exemptions consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.561?

☐ Yes
☒ No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

FCC/OMD-15, "Emergency Contact List," SORN has been revised to include contractors working at the FCC as one of the categories of individuals and to make other revisions to the routine uses and procedures in the SORN. However, this SORN contains no exemptions to the notification, access, and correction and/or amendment procedures as they apply to individuals seeking information about them in this SORN.

7.7 What processes are in place to monitor and to respond to privacy and/or security incidents? Please specify what is changing if this is an existing system of records notice (SORN) that is being updated or revised?

The Human Resources Management (HRM) staff has posted notices that the information in FCC/OMD-15, "Emergency Contact List," SORN database is "non public for internal use only." The HRM also issues reminders periodically to those granted access to the information that they are to keep the information confidential and to safeguard any printed materials.

7.8 How often is the information system audited to ensure compliance with FCC and OMB regulations and to determine new needs?

- [ ] Six months or less
- [ ] One year
- [ ] Two years
- [ ] Three years
- [ ] Four years
- [ ] Five years
- [x] Other audit scheduling procedure(s): Although this information system does not have an audit requirement, the HRM staff does have procedures, identified elsewhere in this PIA, noting the administrative protections, privacy training, and access controls that are in place to safeguard the personally identifiable information contained in this information system covered by FCC/OMD-15, "Emergency Contact List," SORN.

Section 8.0 Consumer Satisfaction:

8.1 Is there a customer satisfaction survey included as part of the public access to the information covered by this system of records notice (SORN)?

- [ ] Yes
- [ ] No
- [x] Not applicable

Please explain your response:

If there are no Consumer Satisfaction requirements, please skip to **Section 9.0 Risk Assessment and Mitigation:**

8.2 Have any potential Paperwork Reduction Act (PRA) issues been addressed prior to implementation of the customer satisfaction survey?

- [ ] Yes
- [ ] No

Please explain your response:

8.3   If there are PRA issues, were these issues addressed in the PRA component of this PIA template?

☐ Yes
☐ No

Please explain your response:

Section 9.0 Risk Assessment and Mitigation:

9.1   What are the potential privacy risks for the information covered by this system of records notice (SORN), and what practices and procedures have you adopted to minimize them?

Risks:	**Mitigating factors:**
a. FCC employees, volunteers, and contractors not updating data.	a. Periodic reminders to update data.
b. Personally Identifiable Information (PII) is stored in this information system	b. Information is protected on PCs requiring login's and access rights; and there is little impact to individual privacy since the PII that is stored in this system is "low security" and participating in the SORN is purely voluntary.
c. Information in the SORN's database is stored in the network computer	c. Password protected

9.2   What deficiencies did the bureau/office find in its procedures for evaluating the information system(s) covered by this system of records notice (SORN) and what remedies did the bureau/office enact following this Privacy Impact Assessment (PIA)?

Deficiencies:	**Remedies:**
a. None were identified.	a.
b.	b.
c.	c.

9.3   What is the projected production/implementation date for the database(s):

Initial implementation: August 2003
Secondary implementation: May 2006
Tertiary implementation:
Other implementation:

9.4   Are there any ancillary and/or auxiliary information system(s) applications linked to this information system that is covered by this system of records notice (SORN), which may also require a Privacy Impact Assessment (PIA)?

☐ Yes
☒ No

If so, please state the application(s), if a Privacy Impact Assessment (PIA) has been done, and the completion date for PIA:

Certification:

I as the information system owner or custodian will ensure that the FCC's information security and privacy policies, guidelines, and procedures are followed in the development, integration, operation, and maintenance of this information system.

Bonita Jinly   6/27/2007
[Information System Owner or Custodian, Title, and Date (MM/DD/YYYY)]

Deborah Berg   6/27/2007
[Information System Owner or Custodian, Title, and Date (MM/DD/YYYY)]

Leslie F. Smith   06/27/2007
[Privacy Analyst and Date (MM/DD/YYYY)]

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