Privacy Impact Assessment

for the

Case Management Enterprise System

Certifications:

I certify that this Privacy Impact Assessment conforms to the principles of OMB Memorandum M-03-22, and that the assessed system is in compliance with Section 208 of the E-Government Act of 2002 (Pub. L. 107-347).

/signed/ 5/31/2006

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System Description: The Case Management Enterprise System provides case management for the 94 individual United States Attorneys Offices (USAOs) through the National LIONS and the Booker Database . National LIONS is the central LIONS database. The Booker Database captures information relating to Booker Sentencing data.

System Purpose: National LIONS provides key data to the Executive Office for United States Attorneys (EOUSA) management to respond to numerous requests for statistical information from other government agencies, Congress, and the public. The Booker Database assists the Department of Justice in assessing the impact of the Booker decision on federal sentencing. In the course of serving this purpose, the Case Management Applications must collect and maintain certain personal information which identifies criminal defendants.

Assessment:

1. What information is to be collected?

A clear relationship has been established between the personal information to be collected and Case Management Enterprise System operational requirements. The personal information to be collected is pertinent to the stated Case Management Enterprise System purpose and only information that is required is collected. The personal information to be collected and maintained by Case Management Enterprise System is:

A. National LIONS
   1. Email address of agent
   2. Fax number of agent
   3. First name of agent
   4. Last name of agent
   5. Pager number of agent
   6. Phone number of agent
   7. Salutation of agent
   8. Title of agent
   9. First name of an alias
   10. System generated value for use in a sounds-like search on the first name of an alias
   11. System-generated sequence number that identifies the alias
   12. Last name of the alias
   13. System-generated value for use in a sounds-like search on the last name of an alias
   14. First name of the participant
   15. System-generated value for use in a sounds-like search on an archived participants first

16. name
17. Last name of the participant
18. System-generated value for use in a sounds-like search on an archived participant's last
19. name
20. Name of the bondsman or bonding company
21. Date of Defendant's birthday
22. Last name of a contact person when the participant is a business
23. First name of a contact person when the participant is a business
24. IRS Employer Identification Number when the participant is a business
25. Name of the Employer
26. Internal Number assigned by the FBI to a defendant
27. First name of a participant in a given record
28. System-generated value for use in a sounds-like search on the first name of a participant
29. First line of a participant's address
30. Second line of participant's address
31. Third line of a participant's address
32. The name of a city where the participant resides
33. The country where a participant resides
34. Fax number of a participant
35. Home phone number of a participant
36. The state where the participant resides
37. The zip code where the participant resides
38. Code that describes the immigration status of the participant
39. Code that indicates the participant is a juvenile
40. Last name of the participant
41. System-generated value for use in a sounds-like search on the last name of a participant
42. Internal number assigned by the U.S. Marshals to the participant
43. National Provider Identification
44. First line of a participant's office address
45. Second line of a participant's office address
46. Third line of a participant's office address
47. City of a participant's office
48. County of a participant's office
49. Fax number of the participant's office
50. Telephone number of the participant's office
51. State of the participant's office
52. Zip code of the participant's office
53. Local Police Department ID number of the participant
54. Code that identifies the participant's role in the civil/criminal action

55. Participant's salutation
56. Code that describes security associated with the participant
57. SSN of participant
58. Participant title
59. System-generated sequence number that identifies the staff member making the request
60. System-generated sequence number that identifies the security case staff group
61. Phone number of an employee
62. User Name assigned to staff member authorizing use of the LIONS application

B. Booker

1. Lead AUSA last name
2. Lead AUSA first name
3. Defendant last name
4. Defendant first name
5. Employee user name
6. Employee last name
7. Employee first name
8. Employee phone number

9. Why is the information being collected?

The Case Management Enterprise System collects personal information necessary for civil and criminal case tracking.

10. What is the intended use of the information?

The Case Management Enterprise System data is used by EOUSA to to justify budget requests, allocate resources among USAOs, and produce management reports. The data is also used to produce numerous periodical and ad-hoc reports for the Attorney General, Office of Management and Budget, Congress, and various federal agencies and private sector organizations. Information from the Booker database assists the Department of Justice in assessing the impact of the Booker decision on federal sentencing.

11. With whom will the information be shared?

The personal information will be shared only with cleared and authorized users having a legitimate need to know.

12. What opportunities will individuals have to decline to provide information or to consent to particular uses of the information, and how individuals can grant consent?

As the personal information is required for litigation, individuals have no opportunity to decline to provide or consent to particular uses of the information.

13. How will the information be secured?

The information is secured with management, operational, and technical controls as delineated by NIST Special Publication 800-53 *Recommended Security Controls for Federal Information Systems*. The applied system category control set is **moderate** as defined by NIST Special Publication 800-60 *Guide for Mapping Types of Information and Information Systems to Security Categories*. The system is certified and accredited for control compliance as well as adherence to industry security best practices and mitigation of risk due to technical vulnerabilities.

The potential risk for unauthorized disclosure of personal information is mitigated by

- limiting the number of authorized system users,
- performing background investigations on candidate users,
- providing initial and annual system security training,
- limiting physical access to the system, and
- monitoring network activity with an continuously monitored intrusion detection System.

14. Is the system of records being created under the Privacy Act, 5 U.S.C. 552a?

Yes. The information collected and maintained by Case Management Applications is governed by the Privacy Act. The information may be disclosed without the individual's consent, but only as permitted by the Privacy Act, the Freedom of Information Act, and in accordance with established Case Management Applications policy and procedure.