

**Department of Energy**  
**Privacy Impact Assessment (PIA)**

**Name of Project:** Environmental Management Consolidated Business Center (EMCBC)  
Accreditation Boundary Energy Employees Occupational Illness  
Compensation Program (EEOICPA) Tracking System

**Bureau:** Department of Energy (DOE)

**Project's Unique ID:** 01-60-02-00-02-5000-04

**Date:** August 10, 2007

**A. CONTACT INFORMATION:**

**1) Who is the person completing this document?**

Marian Wilcox, Privacy Act Officer  
Office of Legal Services  
U.S. Department of Energy  
EMCBC  
250 E. 5<sup>th</sup> Street, Suite 500  
Cincinnati, OH 45202  
513-246-0582  
[marian.wilcox@emcbc.doe.gov](mailto:marian.wilcox@emcbc.doe.gov)

**2) Who is the system owner?**

Mell Roy, Chief Counsel  
Office of Legal Services  
U.S. Department of Energy  
250 E. 5<sup>th</sup> Street, Suite 500  
Cincinnati, OH 45202  
513- 246-0585  
[mell.roy@emcbc.doe.gov](mailto:mell.roy@emcbc.doe.gov)

**3) Who is the system manager for this system or application?**

Ward Best, Assistant Director  
Information Resource Management  
U.S. Department of Energy  
250 E. 5<sup>th</sup> Street, Suite 500  
Cincinnati, OH 45202  
513-246-0530  
[ward.best@emcbc.doe.gov](mailto:ward.best@emcbc.doe.gov)

**4) Who is the IT Security Manager who reviewed this document?**

Ward Best, Assistant Director  
Information Resource Management  
U.S. Department of Energy  
250 E. 5<sup>th</sup> Street, Suite 500  
Cincinnati, OH 45202  
513-246-0530  
[ward.best@emcbc.doe.gov](mailto:ward.best@emcbc.doe.gov)

**5) Who is the Bureau/Office Privacy Act Officer who reviewed this document?**

Marian Wilcox, Privacy Act Officer  
Office of Legal Services  
U.S. Department of Energy  
EMCBC  
250 E. 5<sup>th</sup> Street, Suite 500  
Cincinnati, OH 45202  
513-246-0582  
[marian.wilcox@emcbc.doe.gov](mailto:marian.wilcox@emcbc.doe.gov)

Abel Lopez, Director  
FOIA and Privacy Act Group  
U.S. Department of Energy  
1000 Independence Avenue, SW  
Washington, DC 20585  
202-586-5955  
[abel.lopez@hq.doe.gov](mailto:abel.lopez@hq.doe.gov)

**B. SYSTEM APPLICATION/GENERAL INFORMATION:**

**1) Does this system contain any information about individuals?**

Yes

**a. Is this information identifiable to the individual?<sup>1</sup>**

Yes.

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<sup>1</sup> "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).

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

Yes.

**c. Is the information about 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 EMCBC to assist individuals with filing EEOICPA claims for conditions that may be due to exposures during employment by or for DOE. The system also is used to track EEOICPA claim requests submitted to the Department of Labor (DOL) and National Institute of Occupational Safety and Health (NIOSH).

**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. 2401 et. seq.; and 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 related to exposures during 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. Information also is obtained from medical records, personnel security records, exposure records, safety records, incident reports, and employment records.

**b. What Federal agencies are providing data for use in the system?**

Information is obtained from the DOL and NIOSH.

**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 who submits the claim. 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 who submits the claim. 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 who submits the claim. Therefore, it is determined it is current at the time it is submitted.

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

Data elements are described in the user guide and 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?**

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 providing the status of the claim are created for management of the program.

**10) What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how individuals can grant consent.)**

The individual who submits the claim 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 only operated at the DOE EMCBC site.

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

Data retention is in accordance with DOE Administrative Records Schedule 1, "Personnel Records," Section 34 "Occupational Injury and Illness Files."

**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 data will be destroyed in accordance with DOE Administrative Records Schedule 1, "Personnel Records," Section 34 "Occupational Injury and Illness Files." Records are destroyed when they are 75 years old.

**4) Is the system using technologies in ways that the DOE has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?**

No.

**5) How does the use of this technology affect public/employee privacy?**

N/A

**6) Will this system provide the capability to identify, locate, and monitor individuals?**

No. 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?**

Access is limited to those whose official duties require access to records in this system. Types of data extractions and access are logged.

**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 is not being modified.

**F. ACCESS TO DATA:**

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

DOE Federal and contractor personnel. 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?**

Administrative procedures, authentication policy and physical controls are implemented to prevent unauthorized browsing.

**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 inserted 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 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 EMCBC 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 other systems share data or have access to the data in the system.

**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.

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

N/A

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

N/A



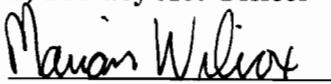
**The Following Officials Have Approved this Document**

**1) System Manager**

 (Signature) 8/14/07 (Date)  
Name: Ward E. Best

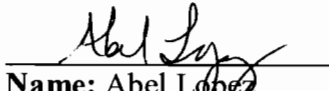
Title: Assistant Director for Information Resource Management

**2) Privacy Act Officer**

 (Signature) 8/15/07 (Date)  
Name: Marian Wilcox


Title: Privacy Act Officer

**3) Privacy Act Officer**

 (Signature) 8/16/07 (Date)  
Name: Abel Lopez

Title: Director, FOIA/Privacy Act Group (HQ)

**4) Senior Official for Privacy Policy**

 (Signature) 8-17-07 (Date)  
Name: Ingrid A.C. Kolb

Title: Director, Office of Management