

Section I

Department of Energy Privacy Impact Assessment (PIA)

Name of Project: Employee Concerns Tracking System

Bureau: Department of Energy

Project's Unique ID: ECTS

Date: August 6, 2008

A. CONTACT INFORMATION:

1) Who is the person completing this document?

Name: Ben Boryla

Title: Technical Lead

Organization: Bechtel Jacobs Company LLC

Address: P.O Box 4699, Building 1330, MS 7020

Oak Ridge, TN. 37831-7020

2) Who is the system owner?

Name: Sandra Rhodes

Title: Employee Relations Program Manager, Human Resources

Organization: Bechtel Jacobs Company LLC

Address: P.O Box 4699, Building 1330, MS 7020

Oak Ridge, TN. 37831-7020

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

Name: David D. Newton

Title: Applications Manager

Organization: Bechtel Jacobs Company LLC

Address: P.O Box 4699, Building 1007, MS 7022

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

Name: David Rose

Title: Cyber Security & Compliance Manager

Organization: Bechtel Jacobs Company LLC

Address: P.O Box 4699, Building 1007, MS 7022

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5) Who is the Privacy Act Officer who reviewed this document?

Name: Amy Rothrock

Title: Privacy Act Officer

Organization: Department of Energy/Oak Ridge Operations

Address: 200 Administration Rd.

Oak Ridge, TN. 37830

B. SYSTEM APPLICATION/GENERAL INFORMATION:

- 1) Does this system contain any information about individuals? Yes
 - a. Is this information identifiable to the individual? Yes
 - b. Is the information about individual members of the public? Yes
 - c. Is the information about DOE or contractor employees? Yes
- 2) What is the purpose of the system/application?
The purpose is to track every employee concern and disciplinary action.
- 3) What legal authority authorizes the purchase or development of this system/application?
Department of Energy

C. DATA in the SYSTEM:

- 1) What categories of individuals are covered in the system?
Contractor and former contractor (public)
- 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?
Some data comes directly from individuals and some information comes from other applications within the boundary.
 - b. What Federal agencies are providing data for use in the system?
None
 - c. What Tribal, State and local agencies are providing data for use in the system?
None
 - d. From what other third party sources will data be collected?
None

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e. What information will be collected from the individual and the public?

This application collects (from employees) the following:

Depending on the concern, information collected may be performance information, medical information, age, gender, race.

3) Accuracy, Timeliness, and Reliability

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

BJC functional Human Resources personnel have processes in place to ensure accuracy of the data.

b. How will data be checked for completeness?

BJC applications require a complete set of data for processing purposes. Procedures and processes are in place to ensure the completeness of the data.

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

BJC Human Resources personnel have processes and procedures in place to ensure the accuracy of the data.

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

Unknown.

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

2) Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected, and how will this be maintained and filed? No

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

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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 by the application. Data will be retrieved by name and badge number.

9) What kinds of reports can be produced on individuals?

Personal identifying information is not in the reports. Employee concerns are put into categories (sexual harassment, hostile work environment) and the reports show the counts per category.

What will be the use of these reports?

Reports are used for trending analysis and ensure consistent action was taken.

Who will have access to them?

Human Resources managers and senior managers with a need to know will have access to the reports.

✓10) What opportunities do individuals have to decline to provide information (e.g., where providing information is voluntary) or to consent only to particular uses of the information (other than required or authorized uses)?

Information requested from the individual depends on what type of concern has been reported. If it is a medical concern, the employee must sign a medical authorization release form before information can be pulled from the Medical department. If dealing with age, gender, or race concerns and the employee is reluctant to provide their age, gender, or race then the information will be retrieved from other data sources, such as Human Resources or Medical.

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 applications do not cross Accreditation Boundaries.

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

Disposition of the data for the BJC D&D Contract will occur at the end of the contract. At that time, data will be turned over to DOE or designated Contractor. Data will be archived or deleted at the end of the contract based on DOE guidelines for retaining records.

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- 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?**

Disposition of the data for the BJC D&D Contract will occur at the end of the contract. At that time, data will be turned over to DOE or designated Contractor. Data will be archived or deleted at the end of the contract based on DOE guidelines for retaining records.

- 4) **Is the system using technologies in ways that DOE has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?** No
- 5) **How does the use of this technology affect public/employee privacy?** N/A
- 6) **Will this system provide the capability to identify, locate, and monitor individuals?** No.
- 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?**
No monitoring is possible outside of normal applications usage.
- 9) **Under which Privacy Act system of records notice does the system operate?** N/A
- 10) **If the system is being modified, will the Privacy Act system of records notice require amendment or revision?** N/A

F. Access to Data:

- 1) **Who will have access to the data in the system?**
Access to data is controlled by the employee concerns program manager.
- 2) **How is access to the data by a user determined?**
Access to data is approved by the application owners and granted by the application administrator on a need-to-know basis.
- 3) **Will users have access to all data on the system or will the user's access be restricted?**
User access is controlled by the employee concerns program manager. Once a user is given access, users can see all of the data.
- 4) **What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?**

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Application owners enforce separation of responsibilities to only allow access to functionality/data necessary to perform job functions.

5) **Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system? If yes, were Privacy Act contract clauses included in their contracts and other regulatory measures addressed?** Yes, DOE Privacy Act clauses are included.

6) **Do other systems share data or have access to the data in the system? If yes, explain.** No.

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

Any applications that process Privacy Act data are classified as “Protected” by the BJC Cyber Security Manager. Those applications then document and test the controls necessary to protect the interfaces/data.

8) **Will other agencies share data or have access to the data in this system?** Office of Personnel Management (OPM), DOE Headquarters, DOE Oak Ridge Office.

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

To ensure compliance with DOE order.

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

Proper use of the data is the responsibility of the receiving agency.

SIGNATURE PAGE

	Signature	Date
PIA Approval Signatures	Original Copy Signed and On File with the DOE Privacy Office	