Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: Foreign Travel Management System (FTMS)
Bureau: Department of Energy
Project Unique ID: FTMS
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A.   CONTACT INFORMATION

1. Who is the person completing this document?

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2. Who is the system owner?

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

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B.   SYSTEM APPLICATION/GENERAL INFORMATION

1.   Does this system contain any information about individuals? Yes

a. **Is this information identifiable to the individual?** [1] Yes

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

FTMS does capture information that includes guest travelers of university staff, contractors at DOE National Laboratories, foreign nationals, other public individuals, and DOE retirees or other separated employees. This data may include federal financial, Privacy Act, and/or Personally Identifiable Information (PII) data.

c. **Is the information about DOE or contractor employees?** Yes

2. **What is the purpose of the system/application?**

The Foreign Travel Management System provides automated support to the official foreign travel trip approval process as defined in DOE Order 551.1B, *Official Foreign Travel.* The system provides for the routing of travel requests to the various DOE departments that must approve the trip before a DOE federal employee or contractor may travel abroad. FTMS serves as the DOE official source of foreign travel information, including names of DOE employees and contractors who travel abroad, countries visited, and number of trips taken per year, the topics covered, and the cost for each trip. The system maintains records of international conferences and keeps a tally of the number of DOE participants in order to stay within DOE attendance guidelines

3. **What legal authority authorizes the purchase or development of this system/application?**

Department of Energy Authorization Act, Title 42, United States Code (U.S.C), Section 7101 et. seq., 50 U.S.C. 2401 et. seq.; Freedom of Information Act, 5 U.S.C. 552; and Privacy Act, 5 U.S.C. 552a.

C. **DATA IN THE SYSTEM**

1. **What categories of individuals are covered in the system?**

FTMS contains, processes, and transmits data pertaining to official foreign travel by the Secretary of Energy and his or her staff as well as personal data on DOE Federal employee travelers and can include guest travelers of university staff, contractors at the DOE National Laboratories, foreign nationals, other public individuals, and DOE retirees or other separated employees.

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[1] "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).

2. What are the sources of information in the system?

In addition to data input by users of the system through standard input screens, the system receives per-diem rates from the State Department web-site. These rates are used to provide pre-loaded actual cost estimates. The system also receives Budget & Reporting (B&R) codes from DOE's Budget and Reporting Codes System (BARC) which is part of the DOE accounting system. B&R codes are used to help associate pre-trip cost estimates with DOE codes. In addition, FTMS receives data on new trips from GovTrip (DOE's travel management system for federal employees) via secure FTP using private key authentication. Currently DOE's Los Alamos National Laboratory uploads data to FTMS via a Web Service connection. The IP addresses and user ID/password for any incoming data are checked against the authorized set of IP addresses and users established by the system owner to ensure only those authorized are able to perform an upload of data are able to run the process. It is anticipated that additional sites will make use of the available Web Services during the fiscal years of 2007 and 2008.

a. Is the source of the information from the individual or is it taken from another source?

The individual traveler, or authorized FTMS user enters the data via standard data entry screens.

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

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

Itinerary information (i.e. Location, purpose & etc.), traveler name, date of birth, place of birth, employment address, employment phone number, home phone number (optional and used in case of emergency if provided by traveler), employment e-mail address (preferred), but could contain their home e-mail address.

3. Accuracy, Timeliness, and Reliability

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

The System Administrators download per-diem rates from the State Department web-site based on email notification that the file has been updated. The FTMS technical lead downloads the new rates from the State Department web site. Downloads are imported into a staging database. From there the new data is compared to the existing data in the FTMS and updated where there have been changes.

b.   How will data be checked for completeness?

Data in the system are reviewed by DOE's program office officials prior to their approval of individual travel requests.

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

Data in the system are reviewed by DOE's program office officials prior to their approval of individual travel requests.

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

Yes. Data elements are described in the FTMS System User Guide, Data Dictionary, and input screens via screen help functionality.

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. Data elements are periodically reviewed for relevancy and continued need by Program Offices. The review process also includes a review of the need for additional data to be captured to satisfy new reporting requirements.

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?

FTMS does not create or derive new data through aggregation from data already collected.

3.   Will the new data be placed in the individual's record?

N/A

4.   Can the system make determinations about employees/the 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 are being consolidated, what controls are in place to protect the data from unauthorized access or use?

N/A for new data. If there appear to be duplicate traveler records, the Site Administrator, aka, Senior Organizational Point of Contact, reviews to determine whether or not they are duplicates and if they are duplicated, a determination is made on which record needs to be deleted. If there is a need to delete a record, portions of the record are captured as needed. Controls are in place within the system to ensure that data is only accessible by the sites administrator.

7.   If processes are being consolidated, do the proper controls remain in place to protect the data and prevent unauthorized access?

N/A. Processes are not consolidated in this system.

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 currently done by the use of a unique number assigned to each user or by the persons SSN. The Site Administrator can use the name field to extract data, but multiple processes are required to accomplish the extraction. In this case the Site Administrator uses the persons name to obtain the travelers unique ID and from there he or she can retrieve the data.

9.   What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?

User reports on individuals are only available for use by the Site Administrators and System Administrations. These reports provide traveler name, system role, e-mail and work phone information. There are also canned reports and ad hoc reports that can be generated by System and Site Administrations to extract any data in the FTMS database.

Generally these reports are used by FTMS staff to review trip information prior to approving the individuals travel request and can be used by the traveler to review his/her travel information. These reports are also used by the Office of Intelligence staff to determine whether or not a pre-briefing of the traveler is necessary prior to the individual leaving on travel.

Site personal can only see their site's data; system administrator's (Julie Squires & David Rippere) can see all data. Separation of user functionality is accomplished server side through specific user groups and application side through selective user rights.

The application is controlled by role with privileges ranging from view only – which can only see reports for their specific site; through System Administrator who have access to all of the data in the system.

System Administrator capability is only granted to the system owner and FTMS help desk personnel. The highest role assigned is Headquarters/Senior OPOC which allows these individuals to see and edit data for their sites.

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)?**

A basic set of data elements are required to support the foreign travel process. However, certain elements are optional and may or may not be provided based on the traveler's determination. In those cases the traveler does provide the optional data she/he cannot determine uses of the information. The DOE Deputy Chief of Staff has the authority to deny/release reports containing this information externally.

E.   <u>Maintenance and Administrative Controls</u>

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?**

Consistent use of FTMS is maintained by the fact that it is only operated at 1 site (DOE Headquarters) and is used by multiple sites.

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

Data in FTMS is currently maintained for a period of not less than 10 years.

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?**

At the end of each fiscal year, data older than 10 years will be deleted. Reports are generally only kept for 1 year. However, reports required by users have been maintained since the systems implementation in 1999 and will be maintained for period of 10 years once the system has been in operation for that period.

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?

Yes. Information available in the traveler's itinerary and is available to Site Administrators, the System Owner, and System Administrator.

7.   What kinds of information are collected as a function of the monitoring of individuals?

Date of travel, city, country, host information, and after hour's information to be used in case of emergency.

8.   What controls will be used to prevent unauthorized monitoring?

Controls are in place for granting access to the system and are role based. The System Owner and Site Administrators grant access or restrict access to the system based on their assigned role in the system.

9.   Under which PA system of records notice does the system operate?

DOE 27- Official Foreign Travel

10.   If the system is being modified, will the PA system of records notice require amendment or revision?

Yes, the system of records notice will be amended as necessary if the system is modified or when ownership changes.

F.   ACCESS TO DATA

1.   Who will have access to the data in the system?

The application is controlled by roles with privileges ranging from view only – which can only see reports for their specific site; through System Administrator who have access to all of the data in the system. External requests for data require the approval of the DOE Deputy Chief of Staff.

2.   How is access to the data by a user determined?

FTMS Site administrators determine what access users will be provided by selecting the users role when approving their account. The available roles are:

- **System Administrator** – has access to all functions in the application. Can only be granted by another System Administrator. Limited to the system owner and the FTMS help desk.
- **Senior Organizational Point of Contact (OPOC)** - oversees his/her site and is able to create, route, approve, and closeout trips; and approve user accounts.
- **Headquarter OPOC** - has the same functions as Senior OPOC plus manages conferences.
- **Site OPOC** - is able to create, route, approve, and closeout trips at their site.
- **Senior Data Entry** - is able to create, route and closeout trips at their site.
- **Data Entry** - is able to create and closeout trips at their site.
- **Traveler** - is able to create and closeout only his/her trips.
- **Approver** - can approving trips routed to the individual approver.
- **View Only** - security personnel who need to review travel. They can access reports (read only) for their site.
- **OSTI** - Office of Science & Technical Information personnel who will be accessing trip closeout information.

3. Will users have access to all data on the system or will the user's access be restricted?

Access to all data on the system is restricted based on role the user has been assigned by the Site Administrator and System Administrator when she assigns roles to the Site Administrator. The application is controlled by roles with privileges ranging from view only – which can only see reports for their specific site; through System Administrator who have access to all of the data in the system.

4. What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?

Role/site based controls are in place to control access to the system and its data.

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 PA contract clauses included in their contracts and other regulatory measures addressed?

Yes to both questions.

6. Do other systems share data or have access to the data in the system? If yes, explain.

No. Data is not shared nor do other systems have access to FTMS data.

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

If there would be a need to share data or provide data through an interface, Julie Squires, 202-586-4048, Office of International Exchange Visitors, MA-45, would be responsible for protecting the privacy rights of the public and employees affected by the interface.

8.   **Will other agencies share data or have access to the data in this system?**

N/A

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

N/A

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

System Administrator and Site Administrator's are responsible for assuring proper use of FTMS data.

PIA Approval Signatures

Original copy signed and on file with the DOE Privacy Office.