

Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: FOIA FOLDER WITHIN INTERGRATED DATA MANAGEMENT SYSTEM (IDMS)

Bureau: DOE-RL

Project Unique ID:

Date: May 14, 2007

A. CONTACT INFORMATION

1. Who is the person completing this document?

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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.
 - c. **Is the information about DOE or contractor employees?** Only if they have filed a Freedom of Information Act (FOIA) or Privacy Act (PA) request with RL.
2. **What is the purpose of the system/application?**
Used and maintained by DOE to record and control FOIA and PA requests; and as a data source for management information.
3. **What legal authority authorizes the purchase or development of this system/application**
5 U.S.C. 552 and 5 U.S.C. 552a

C. DATA IN THE SYSTEM

1. **What categories of individuals are covered in the system?**
Individuals requesting copies of records from DOE under the provisions of the FOIA and the Privacy Act.
2. **What are the sources of information in the system?**

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).

Individuals requesting copies of records and individuals responsible for processing and/or making determination on requests.

- a. **Is the source of the information from the individual or is it taken from another source?** Both. The FOIA and/or PA request is provided by the individual and any documents responsive to and provided to the requester are from DOE records.
- b. **What Federal agencies are providing data for use in the system?**
None, only DOE.
- 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?**
Name, address, telephone number and description of records sought.

3. Accuracy, Timeliness, and Reliability

- a. **How will data collected from sources other than DOE records be verified for accuracy?**
Since the data is provided by the individual, it is determined that the information is accurate at the time it is provided.
- b. **How will data be checked for completeness?**
Since the data is provided by the individual, it is determined that the information is complete at the time it is provided.
- c. **Are the data current? What steps or procedures are taken to ensure the data are current and not out-of-date?**
Yes. Since the data is provided by the individual, it is determined that the information is current and not out-of-date at the time it is provided.
- d. **Are the data elements described in detail and documented?**
Yes, data elements are included in the schema.

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/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
7. **If processes are being consolidated, do the proper controls remain 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.**
Yes, data can be retrieved by the name of the individual, internal tracking number assigned to correspondence, subject, company name, or name of analyst.
9. **What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?**
None.
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)?**
None.

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

Records retention periods are set forth in the NARA General Records Schedule.

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?**
Procedures are documented in the NARA General Records and established in accordance with NARA General Records Schedule. Reports are not produced.
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?**
N/A
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?**
N/A
9. **Under which PA system of records notice does the system operate?**
DOE-55 "FOIA and PA Request for Records."
10. **If the system is being modified, will the PA system of records notice require amendment or revision?**
No.

F. ACCESS TO DATA

1. **Who will have access to the data in the system?**
Only authorized personnel who have a need to know and are approved by FOIA Officer.
2. **How is access to the data by a user determined?**
Need to know.
3. **Will users have access to all data on the system or will the user's access be restricted?**
Restricted to need to know.

4. What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?
Administrative (procedure), authentication policy, and physical controls are implemented to prevent misuse.

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. Information may be disclosed to contractors and their officer and employees I performance of their contract. Individuals provided this information are subject to the same limitation applicable to DOE officers and employees under the Privacy, 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 that they may obtain in accordance with the provisions of the Privacy and the requirements of the DOE Richland Office. The contractor shall ensure that all DOE Richland Office documents and software processed, and the information contained therein, are protect for 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.

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

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for Name: Dana Kranz
Title: RL Chief Information Officer

2. Privacy Act Officer (Field Office)

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