

PRIVACY IMPACT ASSESSMENT

Section I. Nature of the System:

1. Provide the commonly used name of the system, spelling out any acronyms. If the system will be referred to by acronym, include that in parentheses after the name.

Regional Advice Branch System (RABS)

2. In five sentences or less, provide a generalized broad description of the system and its purpose. (*What does this system do; what function does it fulfill.*)

RABS is an information storage and retrieval system that utilizes a relational database management system (to electronically record actions that initiate, change, or complete activities within the lifecycle of an Advice submission or Advice special project. This database is used to store current and historical information and to produce reports. RABS data may also be used to assist in evaluating Advice employee performance.

3. Describe the stage of development of this system:

This is a new system which is --

Still in the planning stages.

Mid-way to launch.

Ready for launch.

Anticipated Launch Date: _____

We propose to change an existing system, the changes of which are

Still in the planning stages.

Mid-way to launch.

Ready for launch.

Anticipated Launch Date: _____

Other (Explain, providing the data required above for new or existing systems.)

This is an existing system that is in the maintenance stage. While there are periodic releases, the overall system remains operational.

4. Is this system required by law or Executive Order?

No.

Yes. (*List the law or Executive Order and the implementing NLRB policies and regulations.*)

Section II. Data in the System:

1. Will this system contain personal data elements? *(See Definitions for a list of common data elements considered personal.)*

No _____ *(Go to Section IX.)*

Yes X *(Continue.)*

2. List those personal data elements or types of data elements that the system will contain:

- Full names of individual Charging Parties and individual Respondents.
- Last names of NLRB employees assigned to cases within the Division of Advice. This is both current and historical information.

3. What are the sources of the personal information in the system? *(Check all that apply:)*

X NLRB files or databases.

Full names of individual Charging Parties and Respondents are derived from NLRB files and case records. Last names of NLRB employees assigned to Advice cases derived from internal Advice sources.

_____ Non-NLRB files or databases. *(List.)*

Unions and law firms representing an individual or group may provide the personal information

_____ State and local agencies. *(List.)*

_____ The record subject himself.

_____ Supervisors.

_____ Other third party sources. *(List.)*

An individual may provide the personal information as required in the Agency's Charge and Petition Forms when a complaint is initially made.

4. Are the personal data elements described in detail and itemized in a record layout or other document? If yes, provide the name of the document and attach a copy.

A User's Guide is currently under development.

5. Review the list of personal data elements you currently collect. Is each data element essential to perform some official function? *[Note: This question only pertains to data elements you specifically solicit. It does NOT apply to personal data that may be voluntarily provided in a "Remarks," "Comments," "Explanation," or similar type of block where the individual is free to add information of his choosing.]*

5a. Yes, all data elements solicited are absolutely essential. *(Go to Section III.)*

5b. Some of the solicited data elements are nice to have but not essential.

5c. None of the personal data elements are necessary. The program could function efficiently without personal data.

6. If you checked blocks 5b or 5c above, list the data elements that are not essential.

Section III. Verifying Data.

1. For data collected from sources other than NLRB records and the record subject himself, describe how the data will be verified for --

- a. Accuracy:

N/A

- b. Completeness:

N/A

- c. Relevance:

N/A

- d. Timeliness:

N/A

2. Describe your procedures for determining if data have been tampered with by unauthorized persons. (*Note: Do not go into so much detail as to compromise system security.*)

The application resides on existing NLRB platforms that are protected by the NLRB firewall and intrusion detection systems.

Section IV. Access to the Data.

1. Who will have access to the data in the system (Users, Managers, System Administrators, Developers, Others)?

Access to RABS data is based on a "need to know" model. RABS system administrators and Advice data input clericals have read/write access; Advice managers and supervisors have read access, as well as the ability to generate reports based on database information; and Advice attorneys have read access to individual cases, without report access.

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

Advice management is responsible for assigning the access each user needs to perform case processing duties.

3. Are criteria, procedures, controls, and responsibilities regarding access documented?

No. A User's Guide is currently under development, which will document these issues.

4. What controls are in place to prevent the misuse (e.g. browsing) of data by those having access? *(Note: Do not go into so much detail as to compromise system security.)*

Data access is based on access control. All Users must have passwords. Users with read-only rights may access data concerning individual cases, but not generate or view reports, which may, for instance, show work productivity of individual Advice attorneys and supervisors..

5. Do other systems share data or have access to data in this system?

No X
Yes___ *(Explain.)*

6. Will other non-NLRB agencies share data or have direct access to data in this system (International, Federal, State, Local, Other)?

No X *(Go to Question IV-9.)*
Yes___ *(List each agency by name or type (e.g., law enforcement activities; Social Security Administration, etc.) and briefly provide the purpose of the access.)*

7. How will the system ensure that agencies only get the information they need to fulfill their official functions?

N/A

8. Who will be responsible for protecting the privacy rights of individuals and employees affected by the interface between agencies?

N/A

9. Who is responsible for assuring proper use of the data? *(List name, title, mailing address, and current telephone number.)*

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Section V. Attributes of the Personal Data.

1. Is the use of the personal data both relevant and necessary to the purpose for which the system is being designed?

No _____ *(Explain.)*
Yes X

2. Will the system derive new data or create previously unavailable data about an individual through a data aggregation process

No _____ *(Go to Section VI.)*
Yes X *(Continue.)*

Information (names of Advice attorneys) is created to identify Advice attorneys assigned to Advice cases.

2a. Will the new data be placed in the individual's employment or other type of record (whether manual or electronic) that is retrieved by name, SSN, or other personal identifier?

No _____
Yes X *(Identify the record, database, or type of record or database.)*

Advice attorney annual and semi-annual evaluations.

2b. Can the system make determinations about individuals or employees that would not be possible without the new data?

No X
Yes _____ *(Explain.)*

2c. Will the data be retrieved by personal identifier (name, SSN, employee number, computer ID number, etc.)

No (Go to Section VI.)
Yes (List retrieval fields.)

The data can be retrieved by name, but data relating to individuals is not disclosed to the public.

2d. What are the potential effects on the due process rights of citizens and lawfully admitted aliens? None.

2d-1. Consolidation and linkage of files and systems?

Not Applicable

2d-2. Derivation of data?

Not Applicable

2d-3. Accelerated information processing and decision-making?

Not Applicable

2d-4. Use of new technologies?

Not Applicable

2e. How are any effects discussed in 2d-1 through 2d-4 to be mitigated?

Not Applicable

Section VI. Maintenance of Administrative Controls.

1. Explain how the system and its use will ensure equitable treatment of individuals.
(NOTE: If the system is operated in more than one site, also include a discussion of how consistent use of the system and data will be maintained in all sites.)

The Division of Advice operates within the NLRB mission. RABS, as a case tracking system, allows NLRB personnel to efficiently resolve Advice case handling. RABS is less than one year old and has been helpful in accurately reporting individual case assignments. The system is a benefit for individuals because case assignments are uniformly tracked and checked monthly for accuracy.

2. Explain any possibility of disparate treatment of individuals or groups.

RABS does not have the capability to be partial.

3. What are the retention periods for the data in this system?

NLRB is in the process of developing retention schedules for RABS.

3a. Does your retention period agree with that listed in Appendix 1, of NLRB Files Management and Records Disposition Handbook?

No X *(Explain.)* NLRB is in the process of developing retention schedules for RABS.

Yes _____ *(List disposal rule from Appendix 1, of NLRB Files Management and Records Disposition Handbook.)*

3b. What are the procedures for eliminating the data at the end of the retention period?
(see above statement)

3c. Where are the procedures discussed in Question 3b above documented?
(see response to question No. 3)

3d. Is the system using technologies in ways that the NLRB has not previously employed (e.g. Caller-ID, surveillance, etc.)?

No X *(Continue.)*

Yes _____ *(Identify the technology and describe how these technologies affect individual privacy.)*

3e. Will this system provide the capability to identify, locate, and monitor individuals?

No X

Yes _____ *(Explain.)*

RABS does not utilize cookies, and accordingly, does not provide the capability of identifying, locating and monitoring users in that manner.

3f. Will this system provide the capability to identify, locate, and monitor groups of people?

No
Yes (Explain.)

3g. What controls will be used to prevent unauthorized monitoring? (Note: Do not describe your controls and procedures in so much detail as to compromise system security.)

Access to RABS is based on the rights and privileges established by the system owner and Advice management. RABS has the capability to enforce its own access rules. Authentication and access control is also supported by the operating system.

Section VII. Interface with Privacy Act Systems of Records.

1. Does this system currently operate under an existing NLRB or Government-Wide Privacy Act system of records? *(Note: The NLRB and Government Wide systems are described at: http://www.access.gpo.gov/su_docs/aces/PrivacyAct.shtml and <http://www.whitehouse.gov/omb/memoranda/m99-05-c.html>*

No *(Go to Section VIII.)*
Yes *(Continue.)*

2: Provide the identifying number and name of each system.

Not Applicable

3. If an existing NLRB Privacy Act system of records is being modified, will the system notice require amendment or alteration? *(List all proposed changes. Consider the following: Will you be collecting new data elements not previously approved for collection; using the data for new internal purposes; sharing the data with new non-NLRB agencies; keeping the records longer; creating new locations of data, etc?)*

No
Yes *(Explain your changes.)*

Not Applicable

4. If the system currently operates under an existing Government-Wide Privacy Act system of records notice, are your proposed modifications in agreement with the existing notice?

No *(Explain your changes and continue.)*
Yes *(Go to Section VIII.)*

Not Applicable

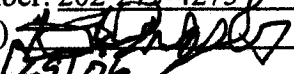
5. If you answered "no" to VII-4 above, have you consulted with the government agency that "owns" the government-wide system to determine if they approve of your modifications and intend to amend or alter the existing notice to accommodate your needs?

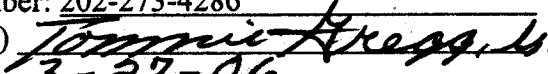
No
Yes *(Provide the name and telephone number of the official with responsibility for the government-wide system.)*

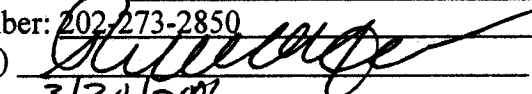
Not Applicable

Section VIII. Certification:

Certification: I have read and understand the purpose of this assessment. I have also reviewed the definition of "personal data" and have accurately listed the personal data elements collected or accurately answered "no" to Question II-1.

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