

Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: Environmental Management Consolidated Business Center (EMCBC)
Accreditation Boundary Employee Concerns Program Records
Bureau: Department of Energy (DOE)
Project's Unique ID: 01-60-02-00-02-5000-04
Date: August 10, 2007

A. CONTACT INFORMATION:

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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

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).

Yes.

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

No.

c. Is the information about employees?

Yes.

2) What is the purpose of the system/application?

The primary purpose of this system is to collect and maintain records needed by the DOE to document and resolve employee concerns about environmental, safety, and health issues, employee-supervisor relations, work processes and practices, and other work-related issues.

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.; 42 U.S.C. 2201(p); 42 U.S.C. 7254; and 42 U.S.C. 5801(a).

C. DATA IN THE SYSTEM:

1) What categories of individuals are covered in the system?

Current and former DOE employees and DOE contractors and subcontractor employees who have filed concerns or complaints with the DOE Employee Concerns Program Offices.

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

The individual making the claim.

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

The information is obtained from the employee or complainant; applicable management officials, and program office records.

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?

The name of the employee making the complaint; complete mailing address; electronic mail address; their position or relationship with the employer; the nature of the concern; the availability of employer processes to address the concern; the number of attempts the individual made to have the concern addressed within the concerned employee's organization, and if the employee is requesting confidentiality.

3) Accuracy, Timeliness, and Reliability

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

Information about the initial concern or complaint is provided by the individual to whom it pertains. Therefore, it is determined that the information is accurate at the time it is provided.

b. How will data be checked for completeness?

Information about the initial concern or complaint is provided by the individual to whom it pertains. Therefore, it is determined that the information is complete at the time it is provided.

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

Information about the initial concern or complaint is provided by the individual to whom it pertains. Therefore, it is determined that the information is current at the time it is provided.

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

Data elements are described in the application project plan.

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 data is used to track, document and resolve employee concern complaints.

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?

The data is not being consolidated.

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 case number and the name of the individual who filed the concern.

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 generated on individuals. However, reports are generated that provide the total number of cases received; the type of concern; the number of cases per month; validity of the concern; and the status of the case. These reports are generated on a monthly basis and provided to the Headquarters Employee Concerns Office as required by statute. Access is limited to individuals on a need-to-know basis.

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.)

Information is voluntarily provided by the individual who filed the complaint or concern.

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 used and 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, Section 43, "Employee Concerns Program Records." Information is available at http://cio.energy.gov/documents/ADM_1.pdf.

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 procedures for disposition of the data are defined in the DOE Administrative Records Schedule 1, Sections 43(a) and (b). Information is available at http://cio.energy.gov/documents/ADM_1.pdf.

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

No, the system is not using new technologies.

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. This system does not used 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.

9) Under which Privacy Act system of records notice does the system operate?

DOE-3 "Employee Concerns Program 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?

Only individuals authorized to have full access to the data can access the system.

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 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 do not share the 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?

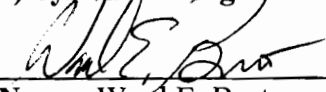
N/A

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

N/A

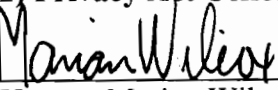
The Following Officials Have Approved this Document

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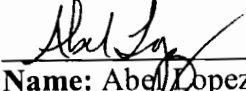
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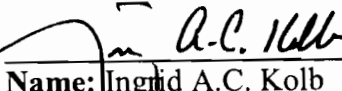
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