

Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: Hummingbird Enterprise Document/Record Management System

Bureau: Department of Energy (DOE)

Project's Unique ID: N/A

Date: 03/09/2007

A. CONTACT INFORMATION:

1) Who is the person completing this document?

Jake Appetta, Office of Business Operations, MS 95-L, U.S. Department of Energy, 626 Cochran Mill Rd, Pittsburgh PA, 15236, (412) 386-4762, or appetta@netl.doe.gov

2) Who is the system owner?

Terry Brennan, Office of Business Operations, MS 95-L, U.S. Department of Energy, 626 Cochran Mill Rd, Pittsburgh PA, 15236, (412) 386-5989, Terry.Brennan@netl.doe.gov

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

Jake Appetta, Office of Business Operations, MS 95-L, U.S. Department of Energy, 626 Cochran Mill Rd, Pittsburgh PA, 15236, (412) 386-4762, or appetta@netl.doe.gov

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

Robert Walker, Office of Business Operations, RR-04, U.S. Department of Energy, 3610 Collins Ferry Road, Morgantown, WV 26507-0880, (304) 285-4520, robert.walker@netl.doe.gov

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

Abel Lopez, Director, Freedom of Information Act and Privacy Act Group, MA-74, U.S. Department of Energy, 1000 Independence Avenue, SW, Washington, DC 20585, (202) 586-5955, abel.lopez@hq.doe.gov

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?

No

c. Is the information about DOE or contractor employees?

Yes

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

The systems stores and provides access to records that are needed by the Office of Legacy Management (LM) to assist current and former DOE contractor employees or their families in connection with the filing of state workers' compensation claims for conditions that may be due to exposures during employment by or for DOE.

The system is a DOE approved Electronic Record Keeping System (ERKS) and is used to manage all paper and electronic active and inactive records created and assigned to LM as part of their Long Term Surveillance and Maintenance (LTS&M) mission. The system includes metadata, full text records, and PDF file extracts of frequently accessed record data from selected databases. The system is used to retrieve, store, schedule and disposition records and is accessible to LM record staff from LM onsite and offsite locations. It is the primary system to locate and provide record data for EEOICPA, Privacy Act, FOIA, workers compensation, disability and related claims and record requests. The system contains historic (static) personal information, such as employee medical reports, radiological exposure data, service dates, work history, training information, social security numbers and marital data.

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

E-Government Act of 2002

C. DATA IN THE SYSTEM:

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

The categories of individuals include current and former DOE employees, and current and former DOE contractor and subcontractor employees.

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?**

The information is not obtained directly from the employee. The information is obtained from other system databases that contain historical (static) employee information.

b. What Federal agencies are providing data for use in the system?

Department of Labor (DOL) and National Institute of Occupational Safety and Health (NIOSH)

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?

Information is not collected from the public or the individual. Historical (static) information was collected during previous employment.

3) Accuracy, Timeliness, and Reliability**a. How will data collected from sources other than DOE records be verified for accuracy?**

The data was verified for accuracy and completeness at the time it was originally created. The data was current at that time. The system provides static historical data and there is no requirement to update it with current information.

b. How will data be checked for completeness?

The data was verified for accuracy and completeness at the time it was originally created. The data was current at that time.

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

The data was verified for accuracy and completeness at the time it was originally created. The data was current at that time. The system provides static historical data and there is no requirement to update it with current information.

d. Are the data elements described in detail and documented? If yes, what is the name of the document?

Data elements are described in the Hummingbird data dictionary.

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?

The data collected is relevant and necessary for LM to perform its LTS&M Records Management services and to support the implementation and operation the Federal compensation program established by the EEOICPA.

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. The employee data is historical (static).

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?

No new data is included in the system.

6) If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?

N/A

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 social security number in conjunction with the name of the individual and location of employment.

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

No reports are produced on individuals. However, outputs from record searches can be converted to spreadsheets for use by records personnel.

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)?

N/A. The system contains information extracted from other applications.

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 maintained in all sites?

The system is only operated at one site.

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

The retention periods are in accordance with applicable National Archives Records Administration (NARA) and DOE record schedules.

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 system and data will be destroyed when it is no longer needed and in accordance with applicable NARA and DOE record schedules.

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

No new technologies employed or existing ones used differently.

5) How does the use of this technology affect public/employee privacy?

There is no affect. DOE is not using any technologies in ways not previously employed.

6) Will this system provide the capability to identify, locate, and monitor individuals?

The system does not have the capability to identify, locate, and monitor individuals.

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

None

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

N/A

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

DOE-5 "Personnel Records of Former Contractor Employees"

DOE-10 "Worker Advocacy Records"

DOE-35 "Personnel Radiation Exposure Records"

DOE-72 "The DOE Radiation Study Registry"

10) If the system is being modified, will the Privacy Act system of records notice require amendment or revision?

The systems are not being modified.

F. ACCESS TO DATA:

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

DOE Federal and contractor personnel will have access to the data in the system. Access to personal data in the system is strictly controlled based on job responsibility and function.

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

Access to data is restricted to LM record staff at LM onsite and offsite locations. Base on a specific need, the user is assigned permissions that are applied using system access control lists. User accounts are reviewed monthly to identify and remove users who have left the organization or whose duties no longer require access to the system.

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

Access will be restricted by position role and responsibilities and to site specific record libraries. Users do not have access to all site libraries.

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

Technical and administrative controls are in place to prevent the misuse of data by individuals with access. The technical controls include restricted access via user-id and password based on user responsibility and job function. All system team members (Federal and contractor) are required to complete the Department of Energy Headquarters Annual Cyber Security Refresher Briefing or LM Annual Cyber Security Refresher Briefing as a necessary prerequisite for access to the system. Administrative controls include non-disclosure agreements and separation of duties so individuals only have access to the system for specific projects.

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?

Contractors are involved in the operation and maintenance of the system. Personal information from this system may be disclosed to these contractors and their officers and employees in performance of their contracts. Individuals provided information under this routine use are subject to the same limitations 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 to safeguard all information that they may obtain in accordance with the provisions of the Privacy Act and the requirements of the DOE. The contractor shall ensure that all DOE 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 share 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?

Director of Business Operations, Legacy Management

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?

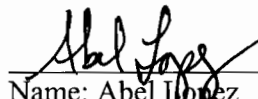
System Owner

The Following Officials Have Approved this Document

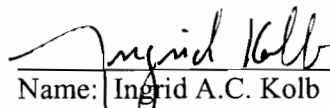
- 1) System Manager

 Digitally signed by Jake Appetta
Date: 2007.03.23 11:55:11 -04'00'
(Signature) _____ (Date)
Name:
Title:

- 2) Privacy Act Officer

 (Signature) 3/23/07 (Date)
Name: Abel Lopez
Title: Director, Freedom of Information Act and Privacy Act Officer

- 3) Senior Agency Official for Privacy

 (Signature) 3-26-07 (Date)
Name: Ingrid A.C. Kolb
Title: Senior Agency Official for Privacy