

Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: Vendor Inquiry Payment Electronic Reporting System (VIPERS)
Bureau: Department of Energy (DOE)
Project's Unique ID: None
Date: March 15, 2007

A. CONTACT INFORMATION:

1) Who is the person completing this document?

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2) Who is the system owner?

Nancy J. Fitchpatrick, Director, Oak Ridge Financial Service Center, FM-71, U.S. Department of Energy, 200 Administration Road, Oak Ridge, TN 37830, (865) 576-0770

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

Roy Settle, Science Applications International Corporation (SAIC), 200 Administration Road, Oak Ridge, TN 37830, (865) 576-2126

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

Qui Nguyen, Materials Control and Accountability and Information Security Team, U.S. Department of Energy, 200 Administration Road, Oak Ridge, TN 37830, (865) 576-1600

5) Who is the Bureau/Office 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

B. SYSTEM APPLICATION/GENERAL INFORMATION:

1) Does this system contain any information about individuals?

Yes

a. Is this information identifiable to the individual¹?

Yes

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

Yes, the system contains information about DOE vendors.

c. Is the information about employees?

Yes

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

The VIPERS ensures secure access to view status of invoices for work or services performed for the department. The system provides quick and easy access to payment information that can be searched by DOE contract/purchase order number, by vendor invoice number, or by the date payment was deposited into a vendor banking account. Once a vendor has been authenticated using their tax identification number and related personal identification number, the vendor can select a specific contract or purchase order. The vendor can then view payment history related to their contract or purchase order as well as pending payments. If an electronic copy of the invoice is available, the vendor can see that image. Vendors also can submit their invoices electronically through VIPERS. Employees are able to review information relating to approved training vouchers. As of October 1, 2005, system authentication is available through E-authentication.

C. DATA IN THE SYSTEM:

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

Vendors who are due money from DOE and employees who submit training vouchers for reimbursement.

¹ "Identifiable Form" – According to the OMB Memo M-03-22, 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 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?

VIPERS accesses DOE's accounting system, the Standard Accounting and Reporting System (STARS) to retrieve invoice information and displays it back to a user via a web browser interface. Vendors have the option to submit their invoices electronically.

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

Information is provided by the individual and from STARS.

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?

STARS.

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

Vendor's Taxpayer Identification Number (TIN), name, address and telephone number or employee's Social Security Number (SSN).

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

The vendor's TIN or employees SSN will be verified against STARS for accuracy. In addition, the vendor or employee address and banking information will be retrieved from STARS.

b. How will data be checked for completeness?

Vendor is required to verify the displayed payment information that is retrieved from STARS.

Vendor invoice information is displayed to the vendor for their verification. Certain fields are required for submitting invoices electronically, TIN, banking information, etc. Changes made will be compared to STARS, and an electronic message sent to the responsible field office site for follow-up.

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

Yes. The vendor is responsible for reviewing payment invoice information that is in STARS. Any changes are captured and mailed electronically to the respective field office that owns the contract or purchase order.

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

Yes. The vendor completes a Standard Form (SF) 1034 or SF 270 in the VIPERS if submitting their invoices electronically. Detail also is contained in the STARS design documentation for data elements.

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. All data collected is relevant and necessary for DOE to perform its required invoice payment responsibilities.

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?

No.

4) Can the system make determinations about employees/public that would not be possible without the new data?

No.

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?

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.

The data is retrieved by the vendor's TIN or SSN.

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

N/A

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.)

If the individual declines to process their invoice electronically, they can submit a paper copy of the invoice. Use of VIPERS is not required.

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?

No. VIPERS is only operated at one site.

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

Data is retained in accordance with the National Archives and Records Administration and with DOE Administrative Records Schedule 6: Accountable Officers Accounts Records, dated 6/17/02. (see <http://cio.doe.gov/documents/rs-DOEADM06.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?

Data is retained in accordance with the National Archives and Records Administration and with DOE Administrative Records Schedule 6: Accountable Officers Accounts Records, dated 6/17/02. (see <http://cio.doe.gov/documents/rs-DOEADM06.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.

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.

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 Privacy Act system of records notice does the system operate?

DOE-18 Financial Accounting System.

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

No, the Privacy Act system of records DOE-18 Financial Accounting System was modified to implement a new financial management system, I-MANAGE STARS on March 28, 2005, 70 FR 15618.

F. Access to Data:

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

Vendors and federal employees will have access to their own information. Access to personal information is controlled through user-id and passwords.

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

Vendors request user-id and password via <http://finweb.oro.doe.gov/>. Their TIN is then verified against STARS. Employees request user-id and password and their SSN is then verified against STARS.

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

Vendors are restricted to their own records with their TIN.

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. Rules of behavior and consequences for violating the rules are displayed to the user each time the user logs onto the system. Administrative controls include nondisclosure agreements and system logs to monitor access and user activity in 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?

Contractors are involved in the design, development and maintenance of the system. Personal information from STARS and the Vendor Invoice Approval System may be disclosed as a routine use to these contractors and their officers and employees in performance of their contracts.

Those 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.

VIPERS interfaces with STARS. Information is retrieved from STARS based on the Vendor's TIN. Payment information is displayed back to the vendor for verification.

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

Director, Oak Ridge Financial Service Center.

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

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

N/A

The Following Officials Have Approved this Document

1) System Manager

R. Settle (Signature) 3-15-07 (Date)
Name: Roy N. Settle

Title: System Administrator

2) System Owner

Nancy Fitchpatrick (Signature) 3-15-07 (Date)
Name: Nancy Fitchpatrick

Title: Director, Oak Ridge Financial Service Center

3) Privacy Act Officer

Abel Lopez (Signature) 3/21/07 (Date)
Name: Abel Lopez

Title: Privacy Act Officer

4) Senior Official for Privacy Policy

Ingrid Kolb (Signature) 3-26-07 (Date)
Name: Ingrid Kolb

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