

Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: Vendor Invoice Approval System (VIAS)

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?

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

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

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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-
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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 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 VIAS System services the approving official community for the DOE. VIAS accesses DOE'S Standard Accounting and Reporting System (STARS) and retrieves invoice information and displays it back to a user via a web browser interface. The system can be used to approve, route, or reject invoices. An output file is created that can be uploaded to STARS via a STARS module. The users are DOE approving officials. Invoice data is entered in the Vendor Inquiry Payment Electronic Reporting System (VIPERS). No invoicing data is entered into the VIAS System.

C. DATA IN THE SYSTEM:**1) What categories of individuals are covered in the system?**

Categories include DOE approving officials, federal employees and government contractors, who approve, route, or reject invoices.

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

STARS – VIAS accesses DOE's accounting system, STARS, to retrieve invoice information and display it back to a user via a web browser interface.

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).

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

Information is taken from STARS and displayed to the invoice approver.

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?

None

3) Accuracy, Timeliness, and Reliability.

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

N/A. No data is collected by VIAS.

b. How will data be checked for completeness?

N/A. No data is collected by VIAS.

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

N/A. No data is collected by VIAS.

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 System 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 individual's electronic mail (e-mail) address. The e-mail address is the individual's user-id and is password protected.

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.)

VIAS is required to approve invoices. In certain cases, an invoice can be approved via e-mail.

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?

VIAS 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?

Federal employees and government contractors will have access. Access to personal information is controlled through user-id and passwords.

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

Invoice approvers request user-id and password via <http://linweb.oro.doe.gov/>. Their CHRIS-ID is then verified against DOEINFO.

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

Invoice approvers are restricted to the records that contain their name and are listed as one of the three approvers on the purchase order in STARS.

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 VIAS 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.

No other system has access to VIAS. VIAS pushes data to STARS. It is a one way transmission.

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

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

N/A

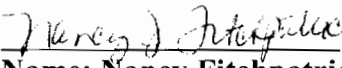
The Following Officials Have Approved this Document

1) System Manager

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

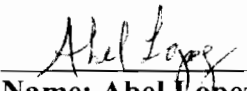
Title: System Administrator

2) System Owner

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

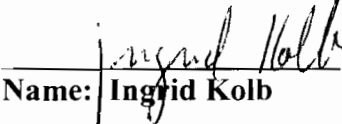
Title: Director, Oak Ridge Financial Service Center

3) Privacy Act Officer

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

Title: Privacy Act Officer

4) Senior Official for Privacy Policy

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

Title: Senior Official for Privacy Policy