



Affects Members Of the Public?	<input checked="" type="checkbox"/>
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Department of Energy  
 Privacy Impact Assessment (PIA)

Guidance is provided in the template. See DOE Order 206.1, *Department of Energy Privacy Program, Appendix A, Privacy Impact Assessments*, for requirements and additional guidance for conducting a PIA: <http://www.directives.doe.gov/pdfs/doe/doetext/neword/206/o2061.pdf>

Please complete electronically: no hand-written submissions will be accepted.

This template may not be modified.

**MODULE I – PRIVACY NEEDS ASSESSMENT**

<b>Date</b>	July 23, 2009	
<b>Departmental Element &amp; Site</b>	Office of Information Resources Office of Management DOE Headquarters, Germantown, Germantown Computer Center Server Room	
<b>Name of Information System or IT Project</b>	FOIAXpress	
<b>Exhibit Project UID</b>	TBD	
<b>New PIA</b> <input checked="" type="checkbox"/>	Please indicate whether this is a new PIA or an update to an existing PIA. List the name of the PIA being updated.	
<b>Update</b> <input type="checkbox"/>		
	<b>Name, Title</b>	<b>Contact Information Phone, Email</b>
<b>System Owner</b>	Kevin T. Hagerty Director, Office of Information Resources	(202) 586-8037 Kevin.Hagerty@hq.doe.gov
<b>Local Privacy Act Officer</b>		



## MODULE I – PRIVACY NEEDS ASSESSMENT

<b>Cyber Security Expert reviewing this document (e.g. ISSM, CSSM, ISSO, etc.)</b>	Phil Knopp IT Project Manager	(301) 903-0364 Phil.Knopp@hq.doe.gov
<b>Person Completing this Document</b>	Alexander C. Morris FOIA Officer, System Manager	(202) 586-3159 Alexander.Morris@hq.doe.gov
<b>Purpose of Information System or IT Project</b>	<p>The primary purpose of FOIAXpress is to serve as a tool to manage and control, and determine the status of Freedom of Information Act (FOIA) and Privacy Act (PA) requests; produce statistical reports; and as a data source for management information. This information may include personal information in an "identifiable form" from members of the public.</p> <p>FOIAXpress provides an electronic document management system that ensures that FOIA and PA requests are addressed in a timely manner. The system provides DOE with the tool that promotes the streamlining of procedures to process FOIA and PA requests by:</p> <ol style="list-style-type: none"> <li>1) Tracking and managing of FOIA and PA cases throughout the entire Department using one software application which can capture data, requester name, action office, due date, estimated completion date, disposition of case, exemptions used, costs associated;</li> <li>2) Providing options for notifying requesters via electronic means of the status of requests;</li> <li>3) Providing daily, monthly and annual reports of activities at all sites;</li> <li>4) Tracking the processing status at each stage;</li> <li>5) Providing overall management and insight for the Chief FOIA Officer;</li> <li>6) Linking Headquarters and all field sites under one system accessible from the desktops of users;</li> <li>7) Providing a secure environment to safeguard the information against compromise, and</li> <li>8) Providing for the online redaction of documents.</li> </ol>	
<b>Type of Information Collected or Maintained by the System:</b>	<input checked="" type="checkbox"/> SSN Social Security number <input checked="" type="checkbox"/> Medical & Health Information e.g. blood test results <input checked="" type="checkbox"/> Financial Information e.g. credit card number <input checked="" type="checkbox"/> Clearance Information e.g. "Q"	



## MODULE I – PRIVACY NEEDS ASSESSMENT

- Biometric Information e.g. finger print, retinal scan
- Mother's Maiden Name
- DoB, Place of Birth
- Employment Information
- Criminal History
- Name, Phone, Address
- Other – Please Specify

**Has there been any attempt to verify PII does not exist on the system?**

*DOE Order 206.1, Department of Energy Privacy Program, defines PII as any information collected or maintained by the Department about an individual, including but not limited to, education, financial transactions, medical history and criminal or employment history, and information that can be used to distinguish or trace an individual's identity, such as his/her name, Social Security number, date and place of birth, mother's maiden name, biometric data, and including any other personal information that is linked or linkable to a specific individual.*

NO

**If "Yes," what method was used to verify the system did not contain PII? (e.g. system scan)**

N/A

### Threshold Questions

**1. Does system contain (collect and/or maintain), or plan to contain any information about individuals?**

YES

**2. Is the information in identifiable form?**

YES

**3. Is the information about individual Members of the Public?**

YES

(If "Yes," place an "X" in the box at the top of first page.)

*Member of the Public refers to individuals in a non-employee or DOE contractor context. Members of the Public includes individuals for*



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	whom DOE maintains information, as required by law, who were previously employed or contracted by DOE.
<b>4. Is the information about DOE or contractor employees?</b>	YES or NO (If Yes, select with an "X" in the boxes below)  <input checked="" type="checkbox"/> Federal Employees <input checked="" type="checkbox"/> Contractor Employees

If the answer to all four (4) Threshold Questions is "No," you may proceed to the signature page of the PIA. Submit the completed PNA with signature page to the CPO.

**Module II must be completed for all systems if the answer to any of the four (4) threshold questions is "Yes." All questions must be completed. If appropriate, an answer of N/A may be entered.**

The goal of the threshold questions is to legitimately and efficiently determine whether additional assessment is necessary. If there is doubt, it is in the System Owner's best interest to complete Module II.

PIAs affecting Members of the Public are posted on the DOE Privacy website. For this reason, PIAs affecting Members of the Public should be written in plain language and at a high level so they are easily understandable and do not disclose sensitive information.

## END OF PRIVACY NEEDS ASSESSMENT



## MODULE II – PII SYSTEMS & PROJECTS

### AUTHORITY, IMPACT & NOTICE

<p><b>1. AUTHORITY</b></p> <p><b>What specific authorities authorize this system or project, and the associated collection, use, and/or retention of personal information?</b></p>	<p>Department of Energy Authorization Act, Title 42, United States Code (U.S.C.), Section 7101 et. seq., 50 U.S.C. 2401 et. seq.; Freedom of Information Act, 5 U.S.C. 552; and Privacy Act, 5 U.S.C. 552a.</p> <p>As provided in DOE O 206.1, "The Privacy Act allows an agency to maintain information about an individual that is relevant and necessary to the purpose of the agency as required by statute or by Executive Order of the President."</p>
<p><b>2. CONSENT</b></p> <p><b>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)?</b></p>	<p>Information submitted by the public to the DOE to process their FOIA and PA cases is provided voluntarily. The personal information stored in the system about members of the public is required in order for DOE to respond to their requests.</p>
<p><b>3. CONTRACTS</b></p> <p><b>Are contractors involved with the design, development and maintenance of the system? If yes, was the Privacy Order CRD or Privacy Act clauses included in their contracts?</b></p>	<p>Yes. Contractors are involved in the design, development, and maintenance of the system. Personal information from FOIAXpress may be disclosed to these contractors and their officers and employees in performance of their contracts. Those individuals who are provided this information are subject to the same limitations applicable to DOE officers and employees under the Privacy Act, 5 U.S.C. 552a.</p> <p>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 requirements of 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.</p>



## MODULE II – PII SYSTEMS & PROJECTS

<b>4. IMPACT ANALYSIS:</b>  How does this project or information system impact privacy?	N/A
<b>5. SORNs</b>  How will the data be retrieved? Can PII be retrieved by an identifier (e.g. name, unique number or symbol)?  If yes, explain, and list the identifiers that will be used to retrieve information on the individual.	The data will be retrieved using the individual's name or request control number.
<b>6. SORNs</b>  Has a Privacy Act System of Records Notice (SORN) been published in the <i>Federal Register</i> ?  If "Yes," provide name of SORN and location in the <i>Federal Register</i> .	Yes. DOE-55 "Freedom of Information and Privacy Act (FOI/PA) Requests for Records."  Federal Register Vol. 74, No. 6/Friday, January 9, 2009. page 1059-1061
<b>7. SORNs</b>  If the information system is being modified, will the SORN(s) require amendment or revision?	N/A
<b>DATA SOURCES</b>	
<b>8. What are the sources of information about individuals in the information system or project?</b>	Information is obtained from the individual to whom it pertains.



## MODULE II – PII SYSTEMS & PROJECTS

<p><b>9. Will the information system derive new or meta data about an individual from the information collected?</b></p>	<p>No</p>
<p><b>10. Are the data elements described in detail and documented?</b></p>	<p>Yes. Data elements are described in the DOE HQ FOIAXpress Configuration Management Plan, dated July 2009.</p>
<p><b>DATA USE</b></p>	
<p><b>11. How will the PII be used?</b></p>	<p>The information will be used to respond to FOIA/PA requests. It also will be used to identify information maintained by DOE about the individual.</p>
<p><b>12. If the system derives meta data, how will the new or meta data be used?</b>   <b>Will the new or meta data be part of an individual's record?</b></p>	<p>N/A</p>
<p><b>13. With what other agencies or entities will an individual's information be shared?</b></p>	<p>Information is not shared with other agencies. The information will be shared only with appropriate authorized users of the system from the DOE Headquarters and DOE site offices.</p>
<p><b>Reports</b></p>	
<p><b>14. What kinds of reports are produced about individuals or contain an individual's data?</b></p>	<p>There are no reports that are produced about individuals.</p>
<p><b>15. What will be the use of these reports?</b></p>	<p>N/A</p>
<p><b>16. Who will have access to these reports?</b></p>	<p>N/A</p>

**Monitoring**



## MODULE II – PII SYSTEMS & PROJECTS

<p><b>17. Will this information system provide the capability to identify, locate, and monitor individuals?</b></p>	<p>No, the system does not have the capability to identify, locate, and monitor individuals.</p>
<p><b>18. What kinds of information are collected as a function of the monitoring of individuals?</b></p>	<p>N/A</p>
<p><b>19. Are controls implemented to prevent unauthorized monitoring of individuals?</b></p>	<p>N/A</p>

### DATA MANAGEMENT & MAINTENANCE

<p><b>20. How will records about individuals be kept current and verified for accuracy, relevance and completeness? Include PII data collected from sources other than DOE records.</b></p>	<p>FOIAXpress does not verify the accuracy or completeness of the data related to the general public. The data in the system is provided by the individual to whom it pertains. Therefore, it is determined that the information is accurate, timely and complete at the time it is provided.</p>
<p><b>21. If the information system is operated in more than one site, how will consistent use of the information be ensured at all sites?</b></p>	<p>The system is operated at DOE Headquarters only and accessed by authorized users from the DOE Headquarters and DOE site offices. The system is hosted at DOE Headquarters.</p>

### Retention & Disposition

<p><b>22. What are the retention periods of data in the information system?</b></p>	<p>Retention periods are in accordance with National Archives and Records Administration (NARA) and DOE records schedules. Information can be obtained at <a href="http://cio.energy.gov/records-management/adminrs.htm">http://cio.energy.gov/records-management/adminrs.htm</a></p>
<p><b>23. What are the procedures for disposition of the data at the end of the retention period?</b></p>	<p>Procedures for disposition are documented in applicable NARA and DOE records schedules. Information can be obtained at <a href="http://cio.energy.gov/records-management/adminrs.htm">http://cio.energy.gov/records-management/adminrs.htm</a></p>

### ACCESS, SAFEGUARDS & SECURITY



**MODULE II – PII SYSTEMS & PROJECTS**

<b>24. What controls are in place to protect the data from unauthorized access, modification or use?</b>	<p>Technical and administrative controls are in place to prevent 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. These access controls are defined in Appendix K – System Privileges of the System Security Plan.</p> <p>Each user must also sign a Rules of Behavior (ROB) document that explains the system's rules of behavior and consequences for violating the rules, prior to gaining access to the system. These signed ROB's are maintained by Alexander C. Morris, System Manager. The system also provides system audit logs to monitor access and user activity in the system.</p>
<b>25. Who will have access to PII data?</b>	DOE federal and contractor personnel with FOIA/PA responsibilities will have access to the data in the system. Access to personal data in the system will be strictly controlled based on job responsibility and function.
<b>26. How is access to PII data determined?</b>	Access to data is determined by evaluation of job responsibilities and organization. Based on the evaluation, the user is assigned permissions that are applied using system access controls lists. User accounts are reviewed every six months to identify and remove users who have left the organization or whose duties no longer require access to the system.
<b>27. Do other information systems share data or have access to the data in the system? If yes, explain.</b>	No other systems share data or have access to the data in the system.
<b>28. For connecting information systems, is there an Interconnection Security Agreement (ISA) or other agreement between System Owners to ensure the privacy of individuals is protected?</b>	N/A
<b>29. Who is responsible for ensuring the authorized use of personal information?</b>	The System Owner is responsible for assuring proper use of the data.

**END OF MODULE II**

## SIGNATURE PAGE

	Signature	Date
<b>PIA Approval Signatures</b>	<b>Original Copy Signed and On File with the DOE Privacy Office</b>	