

Section I

Department of Energy Privacy Impact Assessment (PIA)

Name of Project: Pension Actuarial Application

Bureau: Department of Energy

Project's Unique ID: PENSACTU

Date: August 6, 2008

A. CONTACT INFORMATION:

1) Who is the person completing this document?

Name: Deborah Freeney

Title: Senior Database Specialist

Organization: Software Control International

Address: P.O Box 4699, Building 1007, MS 7022
Oak Ridge, TN. 37831-7022

2) Who is the system owner?

Name: Lisa Frank

Title: Manager, Human Resources

Organization: Bechtel Jacobs Company LLC

Address: P.O Box 4699, Building 1330, MS 7020
Oak Ridge, TN. 37831-7020

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

Name: David D. Newton

Title: Applications Manager

Organization: Bechtel Jacobs Company LLC

Address: P.O Box 4699, Building 1007, MS 7022
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4) Who is the IT Security Manager who reviewed this document?

Name: David Rose

Title: Cyber Security & Compliance Manager

Organization: Bechtel Jacobs Company LLC

Address: P.O Box 4699, Building 1007, MS 7022
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5) Who is the Privacy Act Officer who reviewed this document?

Name: Amy Rothrock

Title: Privacy Act Officer

Organization: Department of Energy/Oak Ridge Operations

Address: 200 Administration Rd.
Oak Ridge, TN. 37830

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? Yes

c. Is the information about DOE or contractor employees? Yes

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

The PENSACTU application produces an annual file for BJC HR to provide to their vendor for Pension Valuation and Compliance testing. Reports are transmitted to Mercer Human Resource Consulting and Price Waterhouse Coopers.

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

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C. DATA in the SYSTEM:

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

Contractor and former contractor (public)

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 data input for Pension Actuarial is the sanctioned Cyborg year end data that is used to generate employee W2s. Some of the Cyborg data comes directly from individuals and some information comes from other applications within the boundary.

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

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

The data input for Pension Actuarial is the Cyborg year-end data that is used to generate employee W2s. The Cyborg application collects (from employees) the following:

Social Security Number

Date of Birth

3) Accuracy, Timeliness, and Reliability

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

N/A – Pension Actuarial is read-only application. The data input for Pension Actuarial is the sanctioned Cyborg year end data file.

BJC functional (CFO, HR and Benefits Planning) personnel have processes in place to ensure accuracy of the Cyborg data prior to it being accessed by other applications.

b. How will data be checked for completeness?

N/A – Pension Actuarial is read-only application. The data input for Pension Actuarial is the sanctioned Cyborg year end data file.

BJC applications require a complete set of data for processing purposes. Procedures and processes are in place to ensure the completeness of the data. BJC functional (CFO, HR and Benefits Planning) personnel have processes in place to ensure accuracy and completeness of the Cyborg data prior to it being transferred to interface applications.

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

N/A – Pension Actuarial is read-only application. The data input for Pension Actuarial is the sanctioned Cyborg year end data file.

The Cyborg data is current as of the end of the calendar year.

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

All data residing in Pension Actuarial is taken from the Cyborg application. Pension Actuarial data elements are named the same as the Cyborg application. The Cyborg data elements are documented in a vendor provided document

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

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? 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? 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.

Database retrieval. Yes. Social Security Number, date of birth can used to retrieve information

9) What kinds of reports can be produced on individuals?

Numerous business-related reports are available with information about individuals (employees and subcontractors).

What will be the use of these reports?

Reports are used for the business of the BJC to satisfy the annual Pension Plan Valuation and Annual nondiscrimination Testing for the M&I 401(k) plans that is completed by Mercer Human Resource Consulting. The reports transmitted to Price Waterhouse Coopers to perform external audit for the Health and Welfare, Pension Plan and M & I 401(k) plan.

Who will have access to them?

Reports are available to BJC CFO, HR and Benefit Planning functional staff as needed to perform their job. The reports are transmitted to Mercer Human Resource Consulting and Price Waterhouse Coopers.

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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)?
None

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 applications do not cross Accreditation Boundaries.

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

The data input for Pension Actuarial is the sanctioned Cyborg year end data file. The retention period is per the Cyborg application data retention requirements.

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?

Disposition of the data for the BJC D&D Contract will occur at the end of the contract. At that time, data will be turned over to DOE or designated Contractor. Data will be archived or deleted at the end of the contract based on DOE guidelines for retaining records.

4) Is the system using technologies in ways that 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?

No monitoring is possible outside of normal applications usage.

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

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

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F. Access to Data:

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

Access to data is controlled by the applications administrators for each application. Application users will have access via the application. Database support will have access via the database.

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

Access to data is approved by the application owners and granted by the application administrator on a need-to-know basis.

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

The data input for Pension Actuarial is the sanctioned Cyborg year end data file. Cyborg user access is controlled by the system administrators by granting roles to individuals. Roles are restricted to see only the functionality/data required by that role.

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

Application owners enforce separation of responsibilities to only allow access to functionality/data necessary to perform job functions.

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? Yes

6) Do other systems share data or have access to the data in the system? If yes, explain. No.

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

Any applications that process Privacy Act data are classified as "Protected" by the BJC Cyber Security Manager. Those applications then document and test the controls necessary to protect the interfaces/data.

8) Will other agencies share data or have access to the data in this system?

✓ Yes. The data is transmitted to:

Mercer Human Resource Consulting
Price Waterhouse Coopers
JP Morgan

9) How will the data be used by the other agency?

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Mercer and JP Morgan perform 401K non-discrimination testing, Mercer performs Pension Plan evaluations, and Price Waterhouse performs external audits of the 401K data.

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

The receiving agency is responsible for proper use of the data.

PIA Approval Signatures

Original copy signed and on file with the DOE Privacy Office.