

Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: Office of Acquisition and Financial Assessment
Bureau: Department of Energy – Golden Field Office
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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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4. Who is the IT Security Manager who reviewed this document?

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

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B. SYSTEM APPLICATION/GENERAL INFORMATION

1. Does this system contain any information about individuals?

a. Is this information identifiable to the individual?

Yes – The PMD system provides information regarding the contract awards, addresses, DUNS numbers, TINs, name of awardee, name of company, etc. In addition the Federal Procurement Data System-Next Generation (FPDS-NG); follow-on to the Procurement Data System (PADs) contains the PII information. The Golden Field Office main frame such as the S and T drive contain information relative to the contracts, as stated above.

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

Yes – Same answer as 5 an above. Sometimes the contract files contain information about key contractor personnel such as their resumes, phone numbers, etc. ✓

c. Is the information about DOE or contractor employees?

Yes – sometimes the contract files contain information about key contractor personnel such as their resumes, Duns, TINs, etc. Names of Contracting Officer and their office phones are also listed on the contract files.

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

To maintain a record for all contractual and financial assistance awards issued out of the Golden Field Office. It also tracks purchase requests, funding, and other award information such as the Contracting Officer. Paper files are kept under lock and key in the file room with a separate lock for entering the file room itself.

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

The Federal Acquisition Regulations require records management, PADs, contract files with signatures, etc.

C. DATA IN THE SYSTEM

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

Contracting officers, executives of the companies receiving awards, contractor project managers, government technical points of contact.

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?

From the applications/proposals submitted by the recipients/contractors. Data checks can come from Brad and Dun Street, CCR, past performance references, etc. Recipients and Contractors are advised in the solicitation and the contract to identify protected data.

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

Federal contracting agencies as necessary for the particular circumstance, and the U.S. Treasury Dept

c. What tribal, state, and local agencies are providing data for use in the system?

Tribal governments provide the information in their application and request for proposals.

d. From what other third party sources will data be collected?

Data can be collected on past performance, Dun and Bradstreet and CCR.

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

Information collected is usually information on how well an individual performed on a contract, the TIN or DUNS number for the award documents, or past performance references. Usually there is a name, sometimes a resume and a phone number, and/or references for confirmation of the data provided. The data received is treated as source selection sensitive.

3. Accuracy, Timeliness, and Reliability

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

Data is verified through systems already in place or by phone, email or written correspondence as submitted by the recipient/contractor wishing to receive an award.

b. How will data be checked for completeness?

Data is checked for completeness through compliance review checks and checks and balances built into the systems used. (i.e. CCR).

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

Data has to be verified for accuracy, completeness and current, by the Contracting Officer before an award can be made.

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

The data collected is maintained in the official contract file.

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 is both relevant and necessary to the purpose for which the system is designed as these are legal documents and have to be in compliance with the Federal Acquisition Regulations 41 USC and other statutory requirements.

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 maintain data until the award is completed and closed out. It is then sent to a repository and destroyed after the destroy date annotated on the file.

3. Will the new data be placed in the individual's record?

If the contractor changes companies names, has new program managers assigned a contract modification will be issued through the same systems identified above and will become part of the official contract file.

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

NA

5. How will the new data be verified for relevance and accuracy?

Refer to Sections 1 & 3.

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

Controls are in place that only allows certain individuals (i.e. Contracting Officers) access to the information.

7. If processes are being consolidated, do the proper controls remain in place to protect the data and prevent unauthorized access?

There is no 7 on this information sheet

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.

As stated above there are control access requirements that limit the number of individual to that data. Contract files are maintained throughout the life of the contract including the modifications in the contract file.

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

Information will be retrieved by the Director of Acquisition and Financial Assistance providing access to authorized individuals only for the purpose of reports. This is done in the system by access and secure codes established for contracting 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)?

The reports will be on the contractor and/or its key personnel in regards to how well they performed on the contract. The information such as the DUNS, TIN, and CCR are required for accountability purposes and in order for the contractor to be paid.

None to my knowledge. If information is marked sensitive, it is treated as such and not disclosed to those not having a need to know.

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 system is operated in only one site managed through DOE.

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

✓ According to RARA approved schedule 3.14 & 3.14.1: 6 years and 3 months after closeout.

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?

The file is issued a tracking number in the data system, boxed and sent to the retention area with disposition instructions. Prior to the file being sent to disposition, a checklist is signed off by the government personnel insuring the file is current and the disposition date is accurate. Procedures are documented in the Standard Operating Procedures and in accordance with the Federal Acquisition Regulations part 4. With the new STRIPES system, this will be handled through the system as designed by HQ DOE.

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?

The system does not affect public or employee privacy as a contract belongs to the public. There are certain types of information that is not released to the public based on proprietary data, source selection sensitive information, and exemptions under FOIA.

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 PA system of records notice does the system operate?

N/A

10. If the system is being modified, will the PA system of records notice require amendment or revision?

The system may already have this information contained. Federal statute compliance are identified in solicitation and contract clauses.

F. ACCESS TO DATA

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

Access to the system is controlled by the Director of the Office of Acquisition and Financial Assistance.

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

The Director of the Office of Acquisition and Financial Assistance determines who has access by the individual's need to know.

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

User's access on the system is restricted by the individual's need to know basis.

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

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 PA contract clauses included in their contracts and other regulatory measures addressed?
Contractors are involved with the design of the new STRIPES system but will not be involved with maintaining the system. Support Service contractors having a need to know sign a non-disclosure agreement.

6. Do other systems share data or have access to the data in the system? If yes, explain.
Yes. They are also protected through a secure password access.

7. Who will be responsible for protecting the privacy rights of the public and employees affected by the interface?
Employees with a need to know having access rights to the system are responsible to protect the data from release.

8. Will other agencies share data or have access to the data in this system?
Other Federal Agencies in the Acquisition Departments use data in the National Information Data Base system on Contractor performance. Data access is through a secured password. Only those having a need to know have access to the data base.

9. How will the data be used by the other agency?
See 8 above.

10. Who is responsible for assuring proper use of the data?
This is controlled through HQ DOE.

¹ "Identifiable Form" - According to the OMB Memo M-02-22, 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 or 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).

PIA Approval Signatures

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