

**Department of Energy**  
**Privacy Impact Assessment (PIA)**

**Name of Project: Energy Employees Occupational Illness Compensation Program Act (EEOICPA) Tracking System**

**Bureau: Department of Energy (DOE)**

**Project's Unique ID:**

**Date: March 9, 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?**

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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 individual<sup>1</sup>?**

Yes.

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

Yes.

**c. Is the information about employees?**

Yes

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

The purpose of this system is to collect and maintain records needed by the Office of Legacy Management (LM) at the DOE to assist current and former DOE employees and contractor employees or their families in connection with filing of state workers' compensation claims for conditions that may be due to exposures during employment by or for DOE. The system is used to track EEOICPA claim requests submitted to the Department of Labor (DOL) and National Institute of Occupational Safety and Health (NIOSH). This system contains social security numbers, employee names and work location.

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

42 U.S.C. 7101 *et. seq.*; 50 U.S.C. 2401 *et. seq.*, and The Energy Employees Occupational Illness Compensation Program Act of 2000, Pub. L. 106-398.

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<sup>1</sup> "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).

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

Current and former DOE employees and DOE contractors and subcontractors.

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

The individual making the claim.

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

The information is obtained from the individual entirely.

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

Information is obtained from DOL and NIOSH.

**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.

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

Information obtained from the individual consists of name, social security number, address, place and dates of employment.

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

The data is verified for accuracy at the time it is submitted to DOE, including completeness of data input. The system is a tracking system and there is no requirement to update personal information.

**b. How will data be checked for completeness?**

The data is verified for accuracy at the time it is submitted to DOE, including completeness of data input.

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

The data is verified for accuracy at the time it is submitted to DOE, including completeness of data input. The system is a tracking system and there is no requirement to update personal information.

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

Data elements are described in the user guide and data dictionary.

**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 purpose of this system is to collect and maintain records to assist current and former DOE employees and contractor employees or their families in connection with filing of state workers' compensation claims for conditions that may be due to exposures during employment by or for DOE.

The system is used to track EEOICPA claim requests submitted through DOL and NIOSH.

**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 not derive new data. The employee data is static.

**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?**

No new data is included in the system.

**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.**

Data is retrieved using the social security number in conjunction with the name of the individual and location of employment.

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

Reports indicating status of claim requests are produced for individuals from the system. Only designated government and contractor personnel have access to the reports.

**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.)**

The individual provides the information voluntarily.

**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 used to track claims and requests for all LM sites, but is specific to the employee and the originating site.

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

The retention periods are in accordance with applicable National Archives Records Administration (NARA) and DOE record schedules.

**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?**

The data will be destroyed when it is no longer needed for tracking a request in accordance with applicable NARA and DOE record schedules.

**4) Is the system using technologies in ways that the DOE has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?**

No new technologies employed or existing ones used differently.

**5) How does the use of this technology affect public/employee privacy?**

There is no affect. DOE is not using any technologies in ways not previously employed.

**6) Will this system provide the capability to identify, locate, and monitor individuals?**

No, the system does not have the capability to identify, locate, and monitor individuals.

**7) What kinds of information are collected as a function of the monitoring of individuals?**

None.

**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-5 "Personnel Records of Former Contractor Employees"

DOE-10 "Worker Advocacy Records"

DOE-35 "Personnel Radiation Exposure Records"

DOE-72 "The DOE Radiation Study Registry"

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

The systems are not being modified.

**F. Access to Data:**

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

DOE Federal and contractor personnel will have access to the data in the system. Access is limited to contractor and government employees who are required to process or monitor these types of requests.

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

Access to data is restricted to LM record staff at LM onsite and offsite locations. Base on a specific need, the user is assigned permissions that are applied using system access control lists. User accounts are reviewed monthly to identify and remove users who have left the organization or whose duties no longer require access to the system.

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

Users have access to system data for request submitted from their sites or for other sites where day may be retrieved.

**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 based on user responsibility and job function. All system team members (Federal and contractor) are required to complete the Department of Energy Headquarters Annual Cyber Security Refresher Briefing or LM Annual Cyber Security Refresher Briefing as a necessary prerequisite for access to the system. Administrative controls include non-disclosure agreements and separation of duties so individuals only have access to the system for specific projects.

**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 with the design and development of the system. Personal information from this system may be disclosed to these contractors and their officers and employees in performance of their contracts. 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 systems share data or have access to the data in the system.

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

Director of Business Operations, Office of Legacy Management.

**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?**

The System Owner.



**The Following Officials Have Approved this Document**

**1) System Manager**

Jake K Appetta Digitally signed by Jake Appetta  
Date: 2007.03.23 11:50:32 -04'00'  
(Signature) \_\_\_\_\_ (Date)  
Name:

Title:

**2) Privacy Act Officer**

Hal Lygg (Signature) 3/23/07 (Date)  
Name:

Title: Privacy Act Officer

**3) Senior Official for Privacy Policy**

Myrial Webb (Signature) 3-26-07 (Date)  
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