

Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: Oak Ridge Office (ORO) Verification of Employment Tracking System (VETS)

Bureau: Department of Energy (DOE)

Project's Unique ID: 019-60-02-00-01-5000-04

Date: September 16, 2007

A. CONTACT INFORMATION:

1) Who is the person completing this document?

Samuel Mashburn
Information Technology Support Services Contractor
U.S. Department of Energy
Oak Ridge Operations Office
200 Administration Road
Oak Ridge, TN 37830
865-576-2594

2) Who is the system owner?

Amy Rothrock
DOE ORO EEOICPA Program Manager
Office of Chief Counsel
U.S. Department of Energy
Oak Ridge Operations Office
200 Administration Road
Oak Ridge, TN 37830
865-576-1216

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

Gwen Senviel
Information Resources Management Division
U.S. Department of Energy
Oak Ridge Operations Office
200 Administration Road
Oak Ridge, TN 37830
865-576-3331

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

Qui Nguyen
Materials Control and Accountability

and Information Security Team
U.S. Department of Energy
Oak Ridge Operations Office
200 Administration Road
Oak Ridge, TN 37830
865-576-1600

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

Amy Rothrock
Office of Chief Counsel
U.S. Department of Energy
Oak Ridge Operations Office
200 Administration Road
Oak Ridge, TN 37830
865-576-1216

Abel Lopez, Director
FOIA and Privacy Act Group
U.S. Department of Energy
1000 Independence Avenue, SW
Washington, DC 20585
202-586-5955

B. SYSTEM APPLICATION/GENERAL INFORMATION:

1) Does this system contain any information about individuals?

Yes.

a. Is this information identifiable to the individual? ¹

Yes.

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

Yes.

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).

c. Is the information about DOE or contractor employees?

Yes.

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

The VETS application provides for the tracking of the status of requests for documentation received at the DOE ORO from the Department of Labor (DOL) and National Institute of Occupational Safety and Health (NIOSH).

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

Title 42, United States Code (U.S.C.), Section 7101 et. seq., 50 U.S.C. et. seq.; The Energy Employees Occupational Illness Compensation Program Act of 2000, Public Law 106-398

C. DATA IN THE SYSTEM:

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

The categories of individuals covered by this application are individuals who have filed claims with the DOL for compensation under the Energy Employees Occupational Illness Compensation Program (EEOICPA).

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 system logs the receipt of correspondence received at the DOE ORO regarding the requests for documentation.

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.

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

Information is not collected from the individual or the public.

3) Accuracy, Timeliness, and Reliability

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

Not applicable; the application logs the date of receipt of correspondence received at the DOE ORO regarding the requests for documentation.

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

The application logs the receipt of correspondence received at the DOE ORO regarding the requests for documentation. Therefore, it is determined it is complete at the time it is entered into the database.

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

The application logs the receipt of correspondence received at the DOE ORO regarding the request for documents. Therefore, the information is determined to have been current at the time it is entered into the database.

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

Yes, data elements are described in the 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?**

Yes, the use of the data is relevant and necessary to administer the EEOICPA program and to assist DOL and NIOSH in determining the status of pending claims in Oak Ridge.

- 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, the application does not derive new data.

- 3) **Will the new data be placed in the individual's record?**

Not applicable.

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

Not applicable.

- 5) How will the new data be verified for relevance and accuracy?**

Not applicable.

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

The data is not being consolidated.

- 7) If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access?**

Processes are not being consolidated.

- 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.

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

The reports produced contain information regarding the status of the request for documents for the Oak Ridge claims.

- 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)?**

Information is not collected from individuals.

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?**

Not applicable. The application is used only within the ORO General Support Services boundaries.

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

Retention periods are in accordance with applicable National Archives Records Administration (NARA) and DOE record schedules. Information can be obtained at <http://cio.energy.gov/records-management/adminrs.htm>.

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?

Retention periods are in accordance with applicable National Archives Records Administration (NARA) and DOE record schedules. Information can be obtained at <http://cio.energy.gov/records-management/adminrs.htm>.

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?

Not applicable.

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

The application does not have the capability to identify, locate or monitor individuals.

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

Not applicable.

8) What controls will be used to prevent unauthorized monitoring?

The application is subject to the functional and administrative controls for the Information Resources Management Division (IRMD) Enclave. The IRMD Enclave is classified as "Moderate" according to Federal Information Security Management Act (FISMA) and has the appropriate controls to identify and stop misuse of the systems within it. The system limits access to the documents based on functional roles and user Identification Number. No user

is permitted access to the documents for monitoring purposes without ORO and IRMD management direction.

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

DOE-10 "Worker Advocacy Records"

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

No, the system of records notice does not require an amendment or revision.

F. ACCESS TO DATA:

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

Only the ORO EEO/PCA Program staff (DOE Federal and contractor personnel) has access to the data. Access is strictly controlled based on job responsibility and function. User-name and Password are required to access data.

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

Access is restricted by job roles and responsibilities.

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

Access is determined through account access procedures.

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

The VETS application has been implemented with a Role Based security process that is connected to each User Account. The account structure that implements VETS has been designed to limit access to a site or site module by Group and or through a direct account. No PII data can be seen, accessed, or modified without explicit permissions of the Group Admin for the VETS application. To modify a Users Permissions the VETS Administrator issues a Helpdesk request to the ORO Systems Administrator to implement a change.

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. Contractors were involved with the design and development of the system and will be involved with the maintenance of the system. Information may be disclosed to contractors and their officers and employees in performance of their contract. Individuals provided this information are subject to the same limitation 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 are required to safeguard all information they may obtain in accordance with the provisions of the Privacy Act and the requirements of DOE. The contractor shall ensure that all DOE ORO 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 outside systems share the data.

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

Not applicable.

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

No other agencies have access to the data.

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

The data is used by DOL and NIOSH to confirm the status of pending Oak Ridge claims.

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

Amy Rothrock, DOE ORO EEOICPA Program Manager
Office of Chief Counsel
U.S. Department of Energy
Oak Ridge Operations Office
200 Administration Road
Oak Ridge, TN 37830
865-576-1216

The Following Officials Have Approved this Document

1) System Manager

Gwen Senviel (Signature) 9/24/07 (Date)
Name: Gwen Senviel
Title: Software Engineering Project Manager

2) Systems Owner

Amy Rothrock (Signature) 10/25/07 (Date)
Name: Amy Rothrock
Title: DOE Oak Ridge Office EEOICPA Program Manager

3) Cyber Security Manager

Qui Nguyen (Signature) 10/25/07 (Date)
Name: Qui Nguyen
Title: Cyber Security Manager

4) Privacy Act Officer

Amy Rothrock (Signature) 10/25/07 (Date)
Name: Amy Rothrock
Title: ORO Privacy Act Officer

Kevin T. Hagerty (Signature) 11/8/07 (Date)
Name: Kevin T. Hagerty
Title: Director, Office of Information Resources

DOE Senior Official for Privacy Policy

Ingrid Kolb (Signature) 11-8-07 (Date)
Name: Ingrid Kolb
Title: Senior Officer for Privacy Policy