E 1081

Department of Energy

Privacy Impact Assessment (PIA)

Affects Members Of the Public?	X

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

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MODULE I – PRIVACY NEEDS ASSESSMENT

Date	August 2, 2010
Departmental Element & Site	Office of Environment Management Department of Energy – Savannah River Operations Office
Name of Information System or IT Project	Department of Energy Savannah River Operations Office File and Print Services
Exhibit Project UID	UPI Code: 019-60-02-00-01-5000-04
New PIA X **Update** ☐	

	Name, Title	Contact Information Phone, Email
System Owner	Chris Upshaw	(803) 952-7735 chris.upshaw@srs.gov
Local Privacy Act Officer	Pauline Conner, Privacy Act Officer	(803) 952-8134 pauline.conner@srs.gov
Cyber Security Expert reviewing this document (e.g. ISSM, CSSM, ISSO, etc.)	Chris Upshaw, Information Systems Security Officer, DOE-SR	(803) 952-7735 chris.upshaw@srs.gov

PRIVACY
PROGRAM

MODULE I – PRIVACY NEEDS ASSESSMENT

Person Completing this Document	Pauline Conner, Privacy Act Officer	(803) 952-8134 pauline.conner@srs.gov
Purpose of Information System or IT Project	The File and Print Services provide file storage and network print services for the Department of Energy Savannah River Operations Office (DOE-SR) personnel.	
Type of Information Collected or Maintained by the System:	☒ SSN Social Security number ☐ Medical & Health Information e.g. blood test results ☒ Financial Information e.g. credit card number ☒ Clearance Information e.g. "Q" ☐ 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	

MODULE I – PRIVACY NEEDS ASSESSMENT

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
4. Is the information about DOE or contractor employees?	YES ☒ Federal Employees ☒ 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

MODULE II – PII SYSTEMS & PROJECTS

AUTHORITY, IMPACT & NOTICE

1. AUTHORITY **What specific authorities authorize this system or project, and the associated collection, use, and/or retention of personal information?**	Paperwork Reduction Act of 1980, 44 U.S.C. § 3501 The E-Government Act of 2002, 44 U.S.C. § 101 Federal Records Act (44 U.S.C. § 3301) DOE Directive – DOE O 243.1, "Records Management Program" The Freedom of Information Act, 5 U.S.C. § 552 The Privacy Act, 5 U.S.C. § 552a
2. CONSENT **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)?**	This is a voluntary process. An individual may decline to provide the information; however, access to the system is dependent on voluntary disclosure.
3. CONTRACTS **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?**	No No
4. IMPACT ANALYSIS: **How does this project or information system impact privacy?**	The potential impact is MODERATE. The loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals. Adverse effects on individuals may include, but are not limited to, loss of the privacy to which individual are entitled under law.

MODULE II – PII SYSTEMS & PROJECTS

5. SORNs **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.**	No.
6. SORNs **Has a Privacy Act System of Records Notice (SORN) been published in the *Federal Register*?** **If "Yes," provide name of SORN and location in the *Federal Register*.**	N/A
7. SORNs **If the information system is being modified, will the SORN(s) require amendment or revision?**	N/A
DATA SOURCES	
8. What are the sources of information about individuals in the information system or project?	The File and Print Services does not have the capability to collect PII from the individual to whom it pertains.
9. Will the information system derive new or meta data about an individual from the information collected?	No

MODULE II – PII SYSTEMS & PROJECTS

10. Are the data elements described in detail and documented?	Yes. The vendor's database describes and documents the data elements.
DATA USE	
11. How will the PII be used?	The authorized employees will use the PII contained in File and Print Services to process data call inquiries.
12. If the system derives meta data, how will the new or meta data be used? **Will the new or meta data be part of an individual's record?**	No. The File and Print Services will not derive any new meta.
13. With what other agencies or entities will an individual's information be shared?	No. The File and Print Services will not share information with other agencies or entities.
Reports	
14. What kinds of reports are produced about individuals or contain an individual's data?	None
15. What will be the use of these reports?	N/A
16. Who will have access to these reports?	N/A
Monitoring	
17. Will this information system provide the capability to identify, locate, and monitor individuals?	No. The File and Print Services does not have the capability to identify, locate, and monitor individuals.

MODULE II – PII SYSTEMS & PROJECTS

18. What kinds of information are collected as a function of the monitoring of individuals?	N/A
19. Are controls implemented to prevent unauthorized monitoring of individuals?	N/A

DATA MANAGEMENT & MAINTENANCE

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.	The File and Print Services is not involved keeping current or verifying individual's PII. Instead, the File and Print Services receives print jobs from the individual's office, which have been created as an outcome of the regular business operations of these offices. Records that the File and Print Services will maintain are artifacts which satisfy 44 U.S.C. § 3301 definition: … *"records" includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United Government under Federal law or in connection with in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of date in them …* Per the law, records once created are not changed.
21. If the information system is operated in more than one site, how will consistent use of the information be ensured at all sites?	The DOE-SR is the only site that will use this system.

Retention & Disposition

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

MODULE II – PII SYSTEMS & PROJECTS

ACCESS, SAFEGUARDS & SECURITY

24. What controls are in place to protect the data from unauthorized access, modification or use?	Technical and administrative controls are in place to prevent the misuse of data by individuals with access. The administrative controls include annual training emphasizing that it is the individual's responsibility to protect data that they have access to, and that misuse of that data will not be tolerated. The technical controls include restricted access via user-id and password based on user responsibility and job function.
25. Who will have access to PII data?	DOE-SR and DOE-SR direct support contractor personnel will have access to the data in the File and Print Services based on their job responsibilities and function.
26. How is access to PII data determined?	The system owner determines who has access. Access to data is on a need-to-know basis in accordance with the job roles and responsibilities of individuals.
27. Do other information systems share data or have access to the data in the system? If yes, explain.	No. The File and Print Services will not share data with other information systems or have access to the data in the system.
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?	N/A
29. Who is responsible for ensuring the authorized use of personal information?	The system owner determines who has access. Access to data is on a need-to-know basis in accordance with the job roles and responsibilities of individuals.

END OF MODULE II

SIGNATURE PAGE		
	Signature	Date
PIA Approval Signatures	Original Copy Signed and On File with the DOE Privacy Office	08/24/2010