



PRIVACY IMPACT ASSESSMENT: DEPARTMENT OF ENERGY  
 SAVANNAH RIVER OPERATIONS OFFICE  
 PRISM SYSTEM  
 PIA Template Version 3 – May, 2009

E-1083

Department of Energy  
 Privacy Impact Assessment (PIA)

Affects Members Of the Public?	<input checked="" type="checkbox"/>
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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>

Please complete electronically: no hand-written submissions will be accepted.

This template may not be modified.

### MODULE I – PRIVACY NEEDS ASSESSMENT

Date	August 9, 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 PRISM System
Exhibit Project UID	UPI Code: 019-60-02-00-01-5000-04
New PIA <input checked="" type="checkbox"/>	
Update <input type="checkbox"/>	

	Name, Title	Contact Information Phone, Email
System Administrator	Joseph Collins, Jr., Senior Systems Administrator, Energy Enterprise Solutions	(803) 952-8342 <a href="mailto:joseph02.collins@srs.gov">joseph02.collins@srs.gov</a>
Local Privacy Act Officer	Pauline Conner, Privacy Act Officer	(803) 952-8134 <a href="mailto:pauline.conner@srs.gov">pauline.conner@srs.gov</a>
Cyber Security Expert reviewing this document (e.g. ISSM, CSSM, ISSO, etc.)	Chris Upshaw, Information Systems Security Officer, DOE-SR	(803) 952-7735 <a href="mailto:chris.upshaw@srs.gov">chris.upshaw@srs.gov</a>



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## MODULE I – PRIVACY NEEDS ASSESSMENT

<b>Person Completing this Document</b>	Pauline Conner, Privacy Act Officer	(803) 952-8134 <a href="mailto:pauline.conner@srs.gov">pauline.conner@srs.gov</a>
<b>Purpose of Information System or IT Project</b>	<p>The purpose of the PRISM system is to track email communications received from and sent to a country outside the United States. In addition, the individuals from a foreign country may request records (e.g., radiation exposure, medical, personnel, etc.) to assist them with filing Energy Employees Occupational Illness Compensation Program Act claims for conditions that may be due to exposures during employment by or for DOE by submitting a Freedom of Information and/or Privacy Act request.</p>	
<b>Type of Information Collected or Maintained by the System:</b>	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> SSN Social Security number</li> <li><input type="checkbox"/> Medical &amp; Health Information e.g. blood test results</li> <li><input type="checkbox"/> Financial Information e.g. credit card number</li> <li><input type="checkbox"/> Clearance Information e.g. "Q"</li> <li><input type="checkbox"/> Biometric Information e.g. finger print, retinal scan</li> <li><input type="checkbox"/> Mother's Maiden Name</li> <li><input checked="" type="checkbox"/> DoB, Place of Birth</li> <li><input checked="" type="checkbox"/> Employment Information</li> <li><input type="checkbox"/> Criminal History</li> <li><input checked="" type="checkbox"/> Name, Phone, Address</li> <li><input type="checkbox"/> Other – Please Specify</li> </ul>	
<b>Has there been any attempt to verify PII does not exist on the system?</b>  DOE Order 206.1, <i>Department of Energy Privacy Program</i> , 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	No	



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*data, and including any other personal information that is linked or linkable to a specific individual.*

**If “Yes,” what method was used to verify the system did not contain PII? (e.g. system scan)**

N/A

### 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



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## MODULE II – PII SYSTEMS & PROJECTS

### AUTHORITY, IMPACT & NOTICE

<b>1. AUTHORITY</b>  <b>What specific authorities authorize this system or project, and the associated collection, use, and/or retention of personal information?</b>	<p>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</p>
<b>2. CONSENT</b>  <b>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)?</b>	<p>This is a voluntary process. An individual may decline to provide the information; however, access to the system is dependent on voluntary disclosure.</p>
<b>3. CONTRACTS</b>  <b>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?</b>	<p>Yes, contractors are involved with the maintenance of the system.</p> <p>Yes, the Energy Enterprise Solutions’ contract contains the appropriate FAR privacy contract clauses. In addition, the system administrator signs a nondisclosure agreement each year agreeing to protect the Personally Identifiable Information among other protected information.</p>
<b>4. IMPACT ANALYSIS:</b>  <b>How does this project or information system impact privacy?</b>	<p>The potential impact is LOW. The loss of confidentiality, integrity, or availability could be expected to have a limited adverse effect on organizational operations, organizations operations, organizational assets, or individuals. Adverse effects on individuals may include, but are not limited to, loss of the privacy to which individuals are entitled under law.</p>



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**MODULE II – PII SYSTEMS & PROJECTS**

<p><b>5. SORNs</b></p> <p>How will the data be retrieved? Can PII be retrieved by an identifier (e.g. name, unique number or symbol)?</p> <p>If yes, explain, and list the identifiers that will be used to retrieve information on the individual.</p>	<p>No.</p>
<p><b>6. SORNs</b></p> <p>Has a Privacy Act System of Records Notice (SORN) been published in the <i>Federal Register</i>?</p> <p>If "Yes," provide name of SORN and location in the <i>Federal Register</i>.</p>	<p>N/A</p>
<p><b>7. SORNs</b></p> <p>If the information system is being modified, will the SORN(s) require amendment or revision?</p>	<p>N/A</p>
<p><b>DATA SOURCES</b></p>	
<p><b>8. What are the sources of information about individuals in the information system or project?</b></p>	<p>The PRISM collects information from the individual to whom it pertains.</p>
<p><b>9. Will the information system derive new or meta data about an individual from the information collected?</b></p>	<p>No</p>



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



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

### DATA MANAGEMENT & MAINTENANCE

<b>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.</b>	The PRISM does not verify the accuracy, relevance, and completeness of the data related to the public. PRISM collects basic data directly from the individual to whom it pertains. Therefore, it is determined that the information is accurate, timely and complete at the time it was provided.
<b>21. If the information system is operated in more than one site, how will consistent use of the information be ensured at all sites?</b>	The DOE-SR is the only site that will use this system.

### Retention & Disposition

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

### ACCESS, SAFEGUARDS & SECURITY

<b>24. What controls are in place to protect the data from unauthorized access, modification or use?</b>	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.
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<b>25. Who will have access to PII data?</b>	DOE-SR and DOE-SR direct support contractor personnel will have access to the data in the systems based on their job responsibilities and function. Furthermore, the appropriate local, and state and federal agencies may have access to certain records maintained in the PRISM to ensure Departmental compliance with other regulatory requirements.
<b>26. How is access to PII data determined?</b>	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.
<b>27. Do other information systems share data or have access to the data in the system? If yes, explain.</b>	No other systems share data or have access to the data in the PRISM.
<b>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?</b>	N/A
<b>29. Who is responsible for ensuring the authorized use of personal information?</b>	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