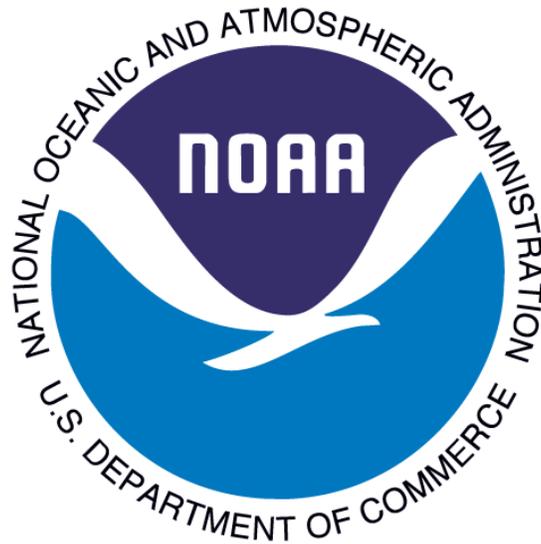


**U. S. Department of Commerce
National Oceanic and Atmospheric Administration
Information Systems Management Office
System Support Division**



**OCIO Seattle
Technical Administrative Support Branch (TASB)
Local Area Network (LAN)
NOAA1004**

PRIVACY IMPACT ASSESSMENT

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**Project: OCIO Seattle Technical Administrative Support Branch (TASB)
Local Area Network (LAN)**

Unique Project Identifier: 006-00-02-00-01-0511-00-404-139

IT Security System: NOAA1004

Project Description:

The OCIO TASB Seattle Local Area Network (LAN) (NOAA1004) is a general support system owned by NOAA's Office of Chief Information Office, System Support Division, consisting primarily of Windows based workstations and file servers. There are three locally developed databases on the NOAA1004 system which contain personally identifiable information (PII). These databases provide tracking capabilities for retirement/health benefits and contributions, NOAA fleet staffing, and security investigations. The privacy information is used to positively and uniquely identify individuals to ensure appropriate distribution of and qualifications for benefits, employment offers and security credentials. For the purposes of this document, they will be identified as: The Pribilof Medical/Retirement Tracking System (PRIB); the Wage Marine Staffing System (WM); and the Security Information System (SIS). All three of these systems are for internal use and do not have any public component.

The PRIB system is designed to track certain health/retirement benefits granted to workers of specified employers in the Pribilof Islands, Alaska, as of 1983 as established by Public Law 98-120 and Public Law 93-63. The employer is required to submit earnings and withholding information to determine the amount of the benefits due to each worker. This system is used to verify appropriate withholdings and initiate billing or refund actions in the case of discrepancies. It is managed by NOAA's Office of Workforce Management, and is the sole source of historical records for this purpose.

The Wage Marine Staffing System (WM), which is also operated by NOAA's Office of Workforce Management, is used to facilitate management of wage marine personnel within the NOAA fleet. Employee's work location preferences and qualifications are tracked and matched with current employment information in the National Finance Center's (NFC) database and fleet staffing requirements to enable rapid and efficient staffing of NOAA's vessels.

The Security Information System (SIS) is operated by the Department of Commerce, Western Region Security Office personnel to track the status and results of security investigations, including security clearance level requests and background investigations. The security office is charged with processing investigations within the Western Region, and must be able to quickly provide reports on the status and results of these investigations.

This PIA has been developed to comply with the requirement in Section 208 of the [E-Government Act of 2002 \(44 U.S.C. 36\)](#) and the [Department of Commerce IT Privacy Policy](#).

1. What information is to be collected (e.g., nature and source)?

Personally identifiable information (PII) is collected and stored in each of the referenced databases. The specific information and sources are listed below.

1.1 What information is to be collected?

(PRIB) Full Name, SSN, Date of Birth, Service Computation Date, Address, Health Care and Life Insurance selections, Salary Information

(WM) Name, SSN, Date of Birth, Licenses and Endorsements, Job/Ship employment preferences

(SIS) Full Name, SSN, Date of Birth, Citizenship, City, State, Security Clearance, Background Investigation dates and results, Organization Code, Title, Series, Grade, Entered on Duty Date and Duty Station.

1.2 From whom is information collected?

(PRIB) Current Employers of specific Pribilof Island natives

(WM) NOAA Wage Marine Employees, National Finance Center (NFC)

(SIS) Federal Employees (applications for security clearances), Office of Personnel Management (OPM), National Finance Center (NFC)

2. Why is the information being collected (e.g., to determine eligibility)?

(PRIB) To identify Pribilof Island natives eligible to receive special, government mandated employment benefits and determine the amount of these benefits

(WM) To identify qualified, interested, internal candidates for NOAA's fleet and facilitate staffing of the vessels

(SIS) To identify individuals that have requested or received government background investigations and security clearances

3. What is the intended use of the information (e.g., to verify existing data)?

(PRIB) To track special, government mandated employment benefits to Pribilof Island natives, verify the amount and begin the process of these benefits.

(WM) To identify qualified, interested candidates for NOAA's fleet and provide lists of these candidates to the Office of Marine and Aviation Operations (OMAO) as requested to fill open vacancies.

(SIS) To track status and results of background investigations and security clearances.

4. With whom will the information be shared (e.g., another agency for a specified programmatic purpose)?

(PRIB) Individual's Name, SSN and pay information is shared with the Western Finance Branch to process collection/reimbursement transactions. Individual's Name, SSN and pay information are shared with National Marine Fisheries Service (NMFS) to reconcile benefits processed with NMFS's budget and forecast records. Information is also supplied to the participating employers (City of St. Paul, St. George Tanaq, and the Tanadgusix Corp.) for records verification purposes to reconcile any discrepancies in pay information and benefits due/processed.

(WM) A list of individuals that qualify and have expressed an interest in a job opening in the NOAA fleet is supplied to the Office of Marine and Aviation Operations (OMAO) at their request. This list includes names and current employment position title.

(SIS) The database is primarily for DOC Office of Security internal use and provides information in support of that office's data calls. Organizations that have requested security clearances or background checks on individuals may also be supplied with the status of these investigations.

5. 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 may individuals grant consent?

(PRIB) Public law requires them to provide the information to participate in the program.

(WM) In order to participate in the program they must provide the requested information.

(SIS) All the requested information is required in order to obtain a complete investigation.

6. How will the information be secured (e.g., administrative and technological controls)?

Management Controls:

Annual security awareness training with a section on data privacy is mandatory for all NOS employees and contractors. Since the software for the applications is mature and new features are not actively being developed, modifications to the software are very limited in scope. All modifications to any of the applications are reviewed for security considerations and vetted through the change management process. Access to the systems is restricted to NOAA personnel expressly designated by their supervisor as requiring access to the information. No contract or outsourced personnel have access to the privacy information in these systems.

Risk assessments are performed periodically on the NOAA1004 system and it undergoes re-accreditation and recertification every three years. A Privacy Impact Assessment (PIA) is conducted in conjunction with this process and whenever there is a significant modification to either the code or the NOAA1004 system.

Operational Controls:

The NOAA 1004 local area network (LAN) is located at 7600 Sand Point Way NE, Seattle, WA. The facility has a uniformed guard service, video cameras covering entrances, and active monitoring, as well as key card controls limiting access to all production servers and workstations. Backups are performed on an ongoing basis with all information being mirrored to a server in Boulder, CO. In addition, weekly backup tapes are created and stored in NOAA's Information Technology Center (ITC) in Washington DC. Integrity checks of the backups are performed with each backup. Data is restricted to the least number of users that require access to the information.

Technical Controls:

A Security Certification and Accreditation (C&A) in accordance with the requirements of the [Federal Information Security Act of 2002](#) (FISMA) was completed for this system and is in force. The C&A process is an audit of policies, procedures, controls, and contingency planning, required to be completed for all federal government IT systems every three years.

The applications are not accessible to the public. Each user must be authorized to have access to the application by his/her supervisor and the manager responsible for the database and is issued a unique network user ID which is used to limit access to only the required information in the system.

Data Extract Log and Verify Requirement:

There are no automated access audit logs within any of the databases. Microsoft Windows access rights and audit logs are used to restrict and monitor access to the files which make up the databases. These audit logs are reviewed on a monthly basis or more often if the situation warrants it. Due to PII concerns, no tools are provided to permit extracting of data. Data to be shared with other agencies is manually extracted.

(PRIB) Information extracted from this system is provided to the NOAA CFO's Western Finance Branch (WFB), NOAA NMFS and participating employers in the Pribilof Islands. Copies of the extract sent to WFB and those sent to participating employers are maintained in a locked file cabinet. When an employee retires, an earning summary is printed for that employee and maintained in a locked file cabinet. Public law requires that these two reports be kept indefinitely so they are not deleted or destroyed. Logging of the above reports is performed manually.

(WM) Reports of qualified candidates that have expressed interest in vacant positions are printed and forwarded to the Office of Marine and Aviation Operations upon request.

However, no PII is included in this report and it is the only report/extract performed on the Wage Marine System.

(SIS) Reports/extracts from this system are supplied to DOC headquarters offices in response to data calls and may contain individual or aggregate information. Information from the system may be printed in support of intra-office operations. If so, it is kept in a locked office and shredded when no longer needed, typically within the same working day. There are no automated extracts; all extracts from the system are performed manually.

7. Is a system of records being created under the [Privacy Act, 5 U.S.C. 552a](#)?

No. The existing Privacy Act system of records notice for [DEPT-18 Employees Personnel Files Not Covered by Notices of Other Agencies](#), applies to the personal information in this system.

8. Are these records covered by an approved records control schedule?

The retention period for these records is guided by the [General Records Schedules \(GRS\)](#), which are issued by the National Archives and Records Administration (NARA) to provide disposition authorization for records common to several or all agencies of the Federal Government. In accordance with [GRS 20, item 3](#), electronic versions of records scheduled for disposal may be deleted at the expiration of the retention period authorized by the GRS for the equivalent paper copies or when no longer needed, whichever is later. [GRS 1](#), Civilian Personnel Records, and [GRS 2](#), Payrolling and Pay Administration Records, apply to most of the underlying paper records in this system.