

**U.S. Department of Commerce**  
**NOAA**



**Privacy Impact Assessment**  
**for the**  
**NOAA6001 Enterprise Information System**

Reviewed by: Robert Swisher, Acting Bureau Privacy Officer

Approved by: Robert Swisher, Acting Bureau Privacy Officer

Date approved: \_\_\_\_\_10/27/2014\_\_\_\_\_

# U.S. Department of Commerce Privacy Impact Assessment

## NOAA6001 Enterprise Information System

**Unique Project Identifier:** 006-48-02-00-01-0511-00

### **Introduction: System Description**

Provide a description of the system that addresses the following elements:

The National Ocean Service (NOS) Enterprise Information System (EIS) is an integrated collection of components designed to provide general office automation, infrastructure and connectivity services to NOS Headquarters and component program and staff offices either resident in Silver Spring, MD, or logically connected to the system through WAN links.

Elements of the system are grouped into three areas, each of which serves a distinct and specific function:

- **Network Infrastructure Subsystem (NIS)** -- NOS SSMC (Silver Spring Metro Center) campus backbone and NOS Wide Area Network (WAN)
- **NOS Domain Subsystem (NDS)** -- The NOS domain infrastructure components and Headquarters Local Area Network (File, Print, Application) services
- **Web Application Subsystem (WAS)** -- NOS application and database hosting services

In addition to the general purpose office automation support (file/printer sharing, application hosting, collaboration, etc.) provided by NOAA6001, the system provides help desk services and supports a number of internal web sites and minor applications which may collect, store and/or disseminate PII or BII. There are three applications within NOAA6001 that collect PII/BII. They and the specific data fields that gather PII/BII are:

**Constituents Database** – Name, telephone number, email, job title, work address, business telephone number, business email, business associates.

**NMSPermit System (Osprey)** – Name, job title, work address, business telephone number, business email, business associates.

**VolunteerNet** – Name, home address, telephone number, email.

The general legislation supporting these applications is 5 U.S.C.301, one of the statutes concerning government organization and employees.

### **Section 1: Information in the System**

1.1 Indicate what personally identifiable information (PII)/business identifiable information (BII) is collected, maintained, or disseminated. Check all that apply.

| Identifying Numbers (IN) |  |                       |  |                      |  |
|--------------------------|--|-----------------------|--|----------------------|--|
| a. Social Security       |  | e. Alien Registration |  | i. Financial Account |  |

|   |   |                          |   |                             |  |
|---|---|--------------------------|---|-----------------------------|--|
| b. Taxpayer ID  |   | f. Driver's License      |   | j. Financial Transaction    |  |
| c. Employee ID  |   | g. Passport              |   | k. Vehicle Identifier       |  |
| d. File/Case ID   |   | h. Credit Card           |   | l. Employer ID Number       |  |
| m. Other identifying numbers (specify):   |   |                          |   |                             |  |
| <b>General Personal Data (GPD)</b>  |   |                          |   |                             |  |
| a. Name   | X | g. Date of Birth         |   | m. Religion                 |  |
| b. Maiden Name  |   | h. Place of Birth        |   | n. Financial Information    |  |
| c. Alias  |   | i. Home Address          | X | o. Medical Information      |  |
| d. Gender   |   | j. Telephone Number      | X | p. Military Service         |  |
| e. Age  |   | k. Email Address         | X | q. Physical Characteristics |  |
| f. Race/Ethnicity   |   | l. Education             |   | r. Mother's Maiden Name     |  |
| s. Other general personal data (specify):                                       |   |                          |   |                             |  |
| <b>Work-Related Data (WRD)</b>  |   |                          |   |                             |  |
| a. Occupation   |   | d. Telephone Number      | X | g. Salary                   |  |
| b. Job Title  | X | e. Email Address         | X | h. Work History             |  |
| c. Work Address   | X | f. Business Associates   | X |                             |  |
| i. Other work-related data (specify): Research proposals and corresponding data |   |                          |   |                             |  |
| <b>Distinguishing Features/Biometrics (DFB)</b>                                 |   |                          |   |                             |  |
| a. Fingerprints   |   | d. Photographs           |   | g. DNA Profiles             |  |
| b. Palm Prints  |   | e. Scars, Marks, Tattoos |   | h. Retina/Iris Scans        |  |
| c. Voice Recording/Signatures   |   | f. Vascular Scan         |   | i. Dental Profile           |  |
| j. Other distinguishing features/biometrics (specify):                          |   |                          |   |                             |  |
| <b>System Administration/Audit Data (SAAD)</b>                                  |   |                          |   |                             |  |
| a. User ID  |   | c. Date/Time of Access   |   | e. ID Files Accessed        |  |
| b. IP Address   |   | d. Queries Run           |   | f. Contents of Files        |  |

|  |
|--|
| g. Other system administration/audit data (specify): |
| <b>Other Information (specify)</b>                   |

1.2 Indicate sources of the PII/BII in the system. Check all that apply.

|   |  |                        |          |                        |          |
|---|--|------------------------|----------|------------------------|----------|
| <b>Directly from Individual about Whom the Information Pertains</b> |  |                        |          |                        |          |
| In Person   |  | Hard Copy: Mail/Fax    | <b>X</b> | Online                 | <b>X</b> |
| Telephone   |  | Email                  | <b>X</b> |                        |          |
| Other (specify):  |  |                        |          |                        |          |
| <b>Government Sources</b>   |  |                        |          |                        |          |
| Within the Bureau   |  | Other DOC Bureaus      |          | Other Federal Agencies |          |
| State, Local, Tribal  |  | Foreign                |          |                        |          |
| Other (specify):  |  |                        |          |                        |          |
| <b>Non-government Sources</b>                                       |  |                        |          |                        |          |
| Public Organizations  |  | Public Media, Internet |          | Private Sector         |          |
| Commercial Data Brokers   |  |                        |          |                        |          |
| Other (specify):  |  |                        |          |                        |          |

**Section 2: Purpose of the System**

2.1 Indicate why the PII/BII in the system is being collected, maintained, or disseminated. Check all that apply.

|                                  |          |  |          |
|----------------------------------|----------|--|----------|
| <b>Purpose</b>                   |          |  |          |
| To determine eligibility         | <b>X</b> | For administering human resources programs | <b>X</b> |
| For administrative matters       | <b>X</b> | To promote information sharing initiatives | <b>X</b> |
| For litigation                   |          | For criminal law enforcement activities    |          |
| For civil enforcement activities |          | For intelligence activities                |          |
| Other (specify):                 |          |  |          |

**Section 3: Use of the System**

3.1 Provide an explanation of how the bureau will use the PII/BII to accomplish the checked purpose(s), e.g., to verify existing data. Describe why the PII/BII that is collected, maintained, or disseminated is necessary to accomplish the checked purpose(s) and further the mission of the bureau and/or the Department. Indicate if the PII/BII identified in Section 1.1 of this document is in reference to a federal employee/contractor, member of public, foreign national, visitor or other (specify).

**Constituents Database**

Information is used to create mailing lists of NOS stakeholders and constituents (members of the public). In general, the legislation that created the various NOS programs includes provisions for gathering personal information on stakeholders in order to accomplish the mission of a program. The mission may involve partnerships and educating the public. Collection and storage of information is part of accomplishing the legislated mission of those programs, the NOS, and NOAA.

**NMSPermit System (Osprey)**

This is an internal system for use by the headquarters and various field offices of the National Marine Sanctuaries program (NMSP) as part of the effort to track and manage the permit application process (for members of the public). It is used only by authorized NMSP personnel.

**VolunteerNet**

VounteerNet is used only by authorized NMSP personnel solely to track and manage the assignments and hours of volunteers (members of the public) for different field sites.

**Section 4: Information Sharing**

4.1 Indicate with whom the bureau intends to share the PII/BII in the system and how the PII/BII will be shared.

| Recipient         | How Information will be Shared |               |               |                 |
|-------------------|--------------------------------|---------------|---------------|-----------------|
|                   | Case-by-Case                   | Bulk Transfer | Direct Access | Other (specify) |
| Within the bureau |                                |               | X             |                 |
| DOC bureaus       |                                |               |               |                 |

|                                     |   |  |  |  |
|-------------------------------------|---|--|--|--|
| Federal agencies                    |   |  |  |  |
| State, local, tribal gov't agencies |   |  |  |  |
| Public                              |   |  |  |  |
| Private sector                      |   |  |  |  |
| Foreign governments                 |   |  |  |  |
| Foreign entities                    |   |  |  |  |
| Other (specify):                    |   |  |  |  |
|                                     | The PII/BII in the system will not be shared. |  |  |  |

### **Section 5: Notice and Consent**

5.1 Indicate whether individuals will be notified if their PII/BII is collected, maintained, or disseminated by the system. Check all that apply.

|   |  |   |
|---|--|---|
|   | Yes, notice is provided pursuant to a system of records notice published in the Federal Register and discussed in Section 6. |   |
| X | Yes, notice is provided by other means.  | Specify how: There are warnings/messages on the main pages of the applications with reference to the Privacy Act of 1974. There is an electronic privacy policy that describes the collection and use of the privacy information. |
|   | No, notice is not provided.  | Specify why not:  |

5.2 Indicate whether and how individuals have an opportunity to decline to provide PII/BII.

|   |   |   |
|---|---|---|
|   | Yes, individuals have an opportunity to decline to provide PII/BII.       | Specify how:  |
| X | No, individuals do not have an opportunity to decline to provide PII/BII. | Specify why not: Furnishing this data is voluntary; however, it is explained on the forms that if they are not complete, receipt of services or enrollment in the program cannot proceed. |

5.3 Indicate whether and how individuals have an opportunity to consent to particular uses of their PII/BII.

|   |  |   |
|---|--|---|
| X | Yes, individuals have an opportunity to consent to particular uses of their PII/BII. | Specify how: Constituents Database: Online consent, per the Privacy Policy.<br><br>NMSPermit System (Osprey): Applicants are requested to indicate any information that is considered proprietary business information. NOAA, the U.S. Fish and Wildlife Service and the State of Hawaii attempt to protect such proprietary information, consistent with all application FOIA exemptions in 5 U.S.C. |
|---|--|---|

|  |  |  |
|--|--|--|
|  |  | 552(b) and applicable State law. Typically exempt information includes trade secrets, commercial and financial information (5U.S.C. 552(b)(4)). Personal information affecting an individual's privacy is also be kept confidential consistent with 5 U.S.C. 552(b) (6) and applicable State law. Unless such information is so identified, the application may be made available to the public in its entirety.<br><br>VolunteerNet: By completing and submitting the voluntary application, users implicitly consent to the use of their PII strictly for tracking assignment and hours. |
|  | No, individuals do not have an opportunity to consent to particular uses of their PII/BII. | Specify why not:   |

5.4 Indicate whether and how individuals have an opportunity to review/update PII/BII pertaining to them.

|          |   |  |
|----------|---|--|
| <b>X</b> | Yes, individuals have an opportunity to review/update PII/BII pertaining to them.       | Specify how: Constituents Database: Users may submit updates to the website administrator based on information obtained from a mass mailing or from materials provided outside the boundaries of the system, e.g., materials provided to the volunteer himself/herself.<br><br>NMFSPermit System (Osprey): Requests to review and update information may be made by the individual owner of the information through written or electronic communications sent to the website administrator. Either the permit system staff updates the information within the records or the individual may submit the updated information to be placed as addenda within their files. |
|          | No, individuals do not have an opportunity to review/update PII/BII pertaining to them. | Specify why not: VolunteerNet: User do not see their data. However, if they complete another application, their data will be updated. Applicants may submit amendments at any time by submitting another application   |

**Section 6: Administrative and Technological Controls**

6.1 Indicate the administrative and technological controls for the system. Check all that apply. Also see Appendix A, a checklist for more specific controls. This appendix will be removed after the PIA is approved.

|          |   |
|----------|---|
|          | All users signed a confidentiality agreement.   |
|          | All users are subject to a Code of Conduct that includes the requirement for confidentiality. |
|          | Staff received training on privacy and confidentiality policies and practices.                |
| <b>X</b> | Access to PII/BII is restricted to authorized personnel only.                                 |
| <b>X</b> | The information is secured in accordance with FISMA requirements. Provide date of most recent |

|   |   |
|---|---|
|   | Assessment and Authorization: January, -5/27/2014.  |
| X | The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher.  |
| X | NIST 800-122 recommended security controls for protecting PII/BII are in place and functioning as intended; or have an approved plan of action and milestones (POAM). See Appendix A. |
| X | Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy.  |
|   | Other (specify):  |

## **Section 7: Privacy Act**

7.1 Indicate whether a system of records is being created under the Privacy Act, 5 U.S.C.

§ 552a. *(A new system of records notice (SORN) is required if the system is not covered by an existing SORN).*

As per the Privacy Act of 1974, “the term ‘system of records’ means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.”

|   |  |
|---|--|
| X | Yes, this system is covered by an existing system of records notice.<br>Provide the system name and number: <u>NOAA-11</u> |
|   | Yes, a system of records notice has been submitted to the Department for approval on <u>(date)</u> .                       |
|   | No, a system of records is not being created.  |

## **Section 8: Retention of Information**

8.1 Indicate whether these records are covered by an approved records control schedule and monitored for compliance. Check all that apply.

|   |   |
|---|---|
| X | There is an approved record control schedule.<br>Provide the name of the record control schedule:<br>1609-06 in the NOAA Disposition Handbook               |
|   | No, there is not an approved record control schedule.<br>Provide the stage in which the project is in developing and submitting a records control schedule: |
| X | Yes, retention is monitored for compliance to the schedule.   |
|   | No, retention is not monitored for compliance to the schedule. Provide explanation:   |