

Affects  Members  Of the Public? **No**

## Department of Energy Privacy Impact Assessment (PIA)

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: <https://www.directives.doe.gov/directives/0206.1-BOrder/view>

**Please complete form and return via email to [Privacy@hq.doe.gov](mailto:Privacy@hq.doe.gov)**

**No hand-written submissions will be accepted.**

**This template may not be modified.**

### MODULE I – PRIVACY NEEDS ASSESSMENT

<b>Date</b>	March 25, 2022	
<b>Departmental Element &amp; Site</b>	U.S. Department of Energy, Office of Energy Efficiency and Renewable Energy (EERE). This system is located at the US Department of Energy Headquarters, EERE Server Room, 1000 Independence Avenue, Washington D.C. 20585.	
<b>Name of Information System or IT Project</b>	EERE SharePoint Collaboration Environment (ESPCE) - Water Power Technologies Office (WPTO) EE-4WP Managers and Supervisors Portal	
<b>Exhibit Project UID</b>	019-000000139	
<b>New PIA</b> <input checked="" type="checkbox"/>		
<b>Update</b> <input type="checkbox"/>		
	<b>Name, Title</b>	<b>Contact Information Phone, Email</b>
<b>System Owner</b>	Matthew Grosso Operations Supervisor	matthew.grosso@ee.doe.gov 202-287-5350
<b>Local Privacy Act Officer</b>	Shaida Beklik EERE HQ Cyber Security Program Manager	202-586-4769 Shaida.beklik@ee.doe.gov
<b>Cyber Security Expert</b> reviewing this document (e.g. ISSM, CSSM, ISSO, etc.)	Shaida Beklik EERE HQ Cyber Security Program Manager	202-586-4769 Shaida.beklik@ee.doe.gov

## MODULE I – PRIVACY NEEDS ASSESSMENT

<b>Person Completing this Document</b>	Amanda Larson WPTO Contractor Support  Quyen Tran EERE HQ Cybersecurity support	202-586-0845 amanda.larson@ee.doe.gov  703-371-9299 quyen.tran@ee.doe.gov
<b>Purpose of Information System or IT Project</b>	The purpose of the EE-4WP Managers and Supervisors Portal, which is provided as part of EERE SharePoint Collaboration Environment (ESPCE), is to store and manage Water Power Technologies Office (WPTO) timekeeping documents, contract files, hiring packages, awards, resumes, and performance plans. It will give all WPTO managers and supervisors a central location to access and store these documents.	
<b>Type of Information Collected or Maintained by the System:</b>	<input type="checkbox"/> SSN Social Security number  <input type="checkbox"/> Medical & Health Information  <input type="checkbox"/> Financial Information e.g. credit card number  <input type="checkbox"/> Clearance Information e.g. "Q"  <input type="checkbox"/> Biometric Information e.g. finger print, retinal scan  <input type="checkbox"/> Mother's Maiden Name  <input type="checkbox"/> DoB, Place of Birth  <input checked="" type="checkbox"/> Employment Information  <input type="checkbox"/> Criminal History  <input checked="" type="checkbox"/> Name <input checked="" type="checkbox"/> Specifically, first name, last name, office location/room number, business phone, business cell phone, business email address  <input type="checkbox"/> Other – Please Specify	
<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	The ESPCE system that supports the portal is scanned/crawled weekly for PII. The shared network drives are scanned/crawled bi-weekly for PII. Email is also scanned/crawled daily for PII on ESPCE system.	

## MODULE I – PRIVACY NEEDS ASSESSMENT

<i>data, and including any other personal information that is linked or linkable to a specific individual.</i>	
<b>If “Yes,” what method was used to verify the system did not contain PII? (e.g. system scan)</b>	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?	No
4. Is the information about DOE or contractor employees?	Yes  <input checked="" type="checkbox"/> Federal Employees <input checked="" type="checkbox"/> 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

### AUTHORITY, IMPACT & NOTICE

<p><b>1. AUTHORITY</b></p> <p>What specific authorities authorize this system or project, and the associated collection, use, and/or retention of personal information?</p>	<p>42 U.S.C. 7101 et seq.; 50 U.S.C. 2401 et seq; Public Law 95–91; and Executive Order 9397, Numbering System for Federal Accounts Relating to Individual Persons.</p>
<p><b>2. CONSENT</b></p> <p>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)?</p>	<p>This is employment information the WPTO managers are authorized to possess, and only those managers will have access to it. Employees have already given consent for authorized users to access it as a condition of their employment.</p>
<p><b>3. CONTRACTS</b></p> <p>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?</p>	<p>Yes, non-WPTO SharePoint contractors are involved with the maintenance of the ESPCE system. All contractors are required to sign the EERE HQ LAN Rules of Behavior. Privacy Act clauses are included in their contract.</p> <p>No WPTO contractors will be involved in any maintenance activities for the EE-4WP Managers and Supervisors portal.</p>
<p><b>4. IMPACT ANALYSIS:</b></p> <p>How does this project or information system impact privacy?</p>	<p>PII such as name, address, phone number, email address, and employment information, are low risk and non-sensitive PII. Access to the portal is only within the DOE Network and is limited to internal and system support personnel. PII is periodically validated and updated for accuracy by WPTO managers with access to this portal.</p> <p>The potential for privacy concerns if the system is breached is low, as there is a low risk of unauthorized access due to the role-based/limited access.</p>

## 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>Records can be retrieved by name, employee ID, email, phone number, or keyword search.</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>OPM/GOVT-1 – General Personnel Records</p> <p>OPM/GOVT-2 – Employee Performance File System Records</p> <p>OPM/GOVT-5 – Recruiting, Examining, and Placement Records</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>- HR system input</p> <p>- Email</p> <p>Note: Email refers here only to internal communication between the WPTO managers who have access to this portal, regarding employee performance and awards.</p>
<p><b>9. Will the information system derive new or meta data about an individual from the information collected?</b></p>	<p>New data is limited to performance evaluation notes for awarding cash awards or time off awards to employees for exceptional work.</p>
<p><b>10. Are the data elements described in detail and documented?</b></p>	<p>No, a data dictionary or other documentation does not currently exist that describes the data elements in detail.</p>

## MODULE II – PII SYSTEMS & PROJECTS

### DATA USE

<p><b>11. How will the PII be used?</b></p>	<p><u>Complete list of document types to be stored:</u>                      Timekeeping documents                      Contract files                      Hiring packages                      Resumes                      Awards                      Performance plans</p> <p><u>More details of contract files</u>                      To draft task order documents (Performance Work Statement (PWS), Independent Government Cost Estimates (IGCE), Quality Assurance Surveillance Plan (QASP), Determinations and Findings (D&amp;F), review invoices which include billable hours, Labor Category (LCAT) rates, and travel/Other Direct Costs (ODC) receipts, monthly status reports</p> <p><u>More details of HR Files</u>                      Hiring packages, performance plans, performance awards</p>
<p><b>12. If the system derives meta data, how will the new or meta data be used?</b></p> <p><b>Will the new or meta data be part of an individual's record?</b></p>	<p>Performance evaluation notes                      - Will be used to determine staff awards, including cash awards and time off awards.</p> <p>Hiring actions – Hiring packages, interview questions and notes, incentive packages</p>
<p><b>13. With what other agencies or entities will an individual's information be shared?</b></p>	<p>None. No data is being shared with other agencies or entities.</p>
<p><b>Reports</b></p>	
<p><b>14. What kinds of reports are produced about individuals or contain an individual's data?</b></p>	<p>No reports will be generated from the information stored on this portal.</p>
<p><b>15. What will be the use of these reports?</b></p>	<p>N/A</p>
<p><b>16. Who will have access to these reports?</b></p>	<p>N/A</p>

### Monitoring

## MODULE II – PII SYSTEMS & PROJECTS

17. Will this information system provide the capability to identify, locate, and monitor individuals?	No, EE-4WP does not have the capability to monitor individuals.
18. What kinds of information are collected as a function of the monitoring of individuals?	There is no capability to monitor individuals.
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.	PII is validated periodically by WPTO managers.
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 portal is provided as part of the ESPCE system which only operates at one site, EERE Headquarters.

### Records Management

22. Identify the record(s).	<ul style="list-style-type: none"> <li>Timekeeping documents</li> <li>Contract files</li> <li>Hiring packages</li> <li>Resumes</li> <li>Awards</li> <li>Performance plans</li> </ul>
-----------------------------	--

## MODULE II – PII SYSTEMS & PROJECTS

23. Identify the specific disposition authority(ies) that correspond to the record(s) noted in no. 22.

### Time and Attendance Records

- DOE 2.4, item 20 (DAA-GRS-2019-0004-0002)  
Temporary. Destroy when 250 years old.  
“EPI” Freeze: Do not destroy.

### Time and Attendance Records

- DOE 2.4, item 25 (DAA-GRS-2019-0004-0002)  
Temporary. Destroy when 10 years old.  
“EPI” Freeze: Do not destroy.

### Time and Attendance Records

- DOE 2.4, item 30 (DAA-GRS-2019-0004-0002)
- Temporary. Destroy 10 years after final payment.
- “EPI” Freeze: Do not destroy.

### Financial Transaction Records

- GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)
- Temporary. DOE Business Use: Destroy when 1 year old.

### Job Application Packages

- GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)  
Temporary. Destroy 1 year after date of submission.

### Employee Incentive Award Records

- GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)  
Temporary. Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later.

### Employee Performance File System Records

- GRS 2.2, item 70 (DAA-GRS-2017-0007-0008)  
Temporary. Destroy no sooner than 4 years after date of appraisal.

24. Records Contact

Tia Alexander  
Tia.Alexander@ee.doe.gov  
202-586-3135

ACCESS, SAFEGUARDS & SECURITY



## MODULE II – PII SYSTEMS & PROJECTS

25. What controls are in place to protect the data from unauthorized access, modification or use?	<p>The WPTO portal is part of EERE ESPCE system. DOE physical, logical access and network security controls protect all data from unauthorized access, modification, or use. Reference the ESPCE System Security Plan (SSP) for more information.</p> <p>Access to portal is limited to members of Water Power Technologies Office management whose approvals are required for the HR actions associated with documents stored here.</p>
26. Who will have access to PII data?	<p>WPTO HQ Operations Supervisor                  WPTO GFO Operations Supervisor                  WPTO Operations Manager                  WPTO Director</p>
27. How is access to PII data determined?	<p>Access to portal only given to members of Water Power Technologies Office management whose approvals are required for the HR actions associated with documents stored here.</p>
28. Do other information systems share data or have access to the data in the system? If yes, explain.	<p>No, other systems do not have access to this WPTO Portal.</p>
29. 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?	<p>N/A; no other information systems connect to this WPTO portal.</p>
30. Who is responsible for ensuring the authorized use of personal information?	<p>Matthew Grosso - WPTO HQ Operations Supervisor</p>

## END OF MODULE II

## SIGNATURE PAGE

	Signature	Date
System Owner		

	<p>X</p> <hr/> <p>Matthew J. Grosso Operations Supervisor</p> <hr style="border: 1px solid red;"/> <hr/> <p style="text-align: center;">(Signature)</p>	
<p><b>Local Privacy Act Officer</b></p>	<hr/> <p style="text-align: center;">(Print Name)</p> <hr/> <p style="text-align: center;">(Signature)</p>	
<p><i>Ken Hunt</i> <b>Chief Privacy Officer</b></p>	<hr/> <p style="text-align: center;">(Print Name)</p> <hr/> <p style="text-align: center;">(Signature)</p>	