| Affects Members Of the Public? | X |
|---|---|

## 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-documents/200-series/0206.1-BOrder/@@images/file**

**Please complete form and return via email to Privacy@hq.doe.gov**

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

**This template may not be modified.**

# MODULE I – PRIVACY NEEDS ASSESSMENT

| Date | February 8, 2022 |
|---|---|
| **Departmental Element & Site** | U.S. Department of Energy (DOE), Office of Energy Efficiency and Renewable Energy (EERE). This system is located at the US Department of Energy Headquarters, 1000 Independence Avenue, Washington D.C. 20585 |
| **Name of Information System or IT Project** | EERE Headquarters Local Area Network (EERE HQ LAN)- EERE Data Center |
| **Exhibit Project UID** | 019-20-02-00-02-3103-00 |
| **New PIA** ☐ <br> **Update** ☒ | This PIA revises the EERE HQ LAN PIA from April 5, 2020. This PIA was never signed by the CPO. |

| | Name, Title | Contact Information Phone, Email |
|---|---|---|
| **System Owner** | David Crouch <br> Management & Program Analyst | (202) 586-4844 <br> david.crouch@ee.doe.gov |

# MODULE I – PRIVACY NEEDS ASSESSMENT

| | | |
|---|---|---|
| **Local Privacy Act Officer** | Shaida Beklik<br><br>Privacy Act Officer | (202) 586-4769<br>Shaida.Beklik@ee.doe.gov |
| **Cyber Security Expert** reviewing this document (e.g. ISSM, CSSM, ISSO, etc.) | Shaida Beklik<br><br>Cyber Security Program Manager | (202) 586-4769<br>Shaida.Beklik@ee.doe.gov |
| **Person Completing this Document** | Adam Giannini<br><br>Cyber Security Analyst<br><br>Accenture Federal Services | (571) 406-5940<br>adam.giannini@nnsa.doe.gov |
| **Purpose of Information System or IT Project** | The purpose of EERE HQ LAN is to provide a general support system for EERE HQ and provide authorized users with access to business applications, such as word processing, spreadsheet, graphics, project management, and various informational databases. EERE HQ LAN is also the hosting environment for several systems that are used by EERE, customers, agency partners, and other DOE program offices. Shared drives and personnel folders of EERE employees are supported by the systems hosted on EERE HQ LAN.<br><br>Each system hosted on HQ LAN listed below has its own separate ATO Package and system PIA.<br><br>1. Corporate Planning System (CPS)<br>    o CPS is a comprehensive strategic planning system to assist in EERE's need to aggregate project data across program offices, track funding authorizations, and budget execution.<br><br>2. EERE Centralized Web Hosting Environment (ECHWE)<br>    o ECWHE is an integrated centrally managed web environment used to host EERE public websites that disseminate and exchange information about specific energy efficiency and renewable energy topics via the Internet to audiences around the country and world.<br><br>3. Performance and Accountability for Grants in Energy (PAGE)<br>    o PAGE is a reporting system that collects, organizes, distributes, and reports a wide array of information related to EERE's Energy Efficiency and Conservation Block Grant (EECBG) Program, State Energy Program (SEP), and Weatherization Assistance Program (WAP).<br><br>4. EERE SharePoint Collaboration Environment (ESPCE) | |

# MODULE I – PRIVACY NEEDS ASSESSMENT

- ESPCE is a business collaboration platform that is used by EERE federal employees, contractors, business partners, and members of the public to provide a way to centralize access to EERE-organizational information and applications on the DOE network and the Internet.

5. Project Management Center (PMC)
    - PMC is a "virtual hub" of project management information and resources for DOE EERE customers, stakeholders, staff, and contractors provided by EERE.

6. Foreign National Visitor (FNV)
    - FNV is an application system that provides a secure website in which foreign visitors can complete and submit a visitor application to EERE's Workforce Management Office (WMO).

7. GC32 Case Manager Pro (GC32 CMP)
    - The GC32 Case Manager Pro (GC32 CMP) System is used to track open cases for GC32 and serves as a repository for all case documents

8. EERE Program Information Center (EPIC)
    - EPIC is an information system designed to support improved execution of EERE's business processes for managing programs, projects, and data.

For more information about the PII stored and processed by the eight applications listed, please refer to the systems' individual PIAs that have been signed by the Chief Privacy Officer and System Security Plans (SSPs).

The responses for the remainder of this PIA will focus on the EERE Data Center (previously EERE Data Warehouse 2.0) that is also included in the boundary of EERE HQ LAN. The EERE Data Center contains Human Resources (HR) information pulled from the Department's HR database relating to past and present EERE employees. The information includes personnel information, such as name, date of birth, address, General Schedule (GS) grade and step, performance ratings, performance history, employee number, etc. The EERE Data Center only pulls information with read-only access from the DOE HR database and does not own the data. The EERE Data Center also pulls information from the Advanced Research Projects Agency-Energy EERE Funding Opportunity Exchange (ARPA-E eXCHANGE) database. This data information includes names, addresses, education and organization information for people in the eXCHANGE database.

# MODULE I – PRIVACY NEEDS ASSESSMENT

| Type of Information Collected or Maintained by the System: | ☐ SSN Social Security number<br><br>☒ Medical & Health Information e.g. blood test results<br><br>    Information related to disabilities and handicaps, and information related to medical leave are maintained.<br><br>☒ Financial Information e.g. credit card number<br><br>    HR data includes salary information.<br><br>☒ Clearance Information e.g. "Q"<br><br>☐ Biometric Information e.g. finger print, retinal scan<br><br>☐ Mother's Maiden Name<br><br>☒ DoB, Place of Birth<br><br>☒ Employment Information<br><br>    The HR data includes GS grade and step, tenure, performance ratings, performance history, and employee number.<br><br>☐ Criminal History<br><br>☒ Name, Phone, Address<br><br>☒ Other – Please Specify<br><br>    Race/Ethnicity |
|---|---|
| **Has there been any attempt to verify PII does not exist on the system?**<br><br>**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. PII knowingly exists on EERE HQ LAN. |
| **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

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| 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 (past Federal Employees) |
| 4. **Is the information about DOE or contractor employees?** | ☒ Federal Employees<br>☐ 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

## MODULE II – PII SYSTEMS & PROJECTS

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| **1. AUTHORITY**<br><br>**What specific authorities authorize this system or project, and the associated collection, use, and/or retention of personal information?** | The Department of Energy Organization Act, Title I, Declaration of Findings and Purposes, section 102. |
| **2. CONSENT**<br><br>**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)?** | The HR data is not collected by the EERE HQ LAN/EERE Data Center. The information is collected at the Department's HR level. An individual may decline to provide the information. However, failure to do so would remove the individual from consideration for employment. |
| **3. CONTRACTS**<br><br>**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?** | Yes, contractors are involved with the maintenance of the system. All contractors are required to sign the EERE HQ LAN Rules of Behavior, which covers the security and safeguarding of personal information. Affected contracts include the appropriate Federal Acquisition Regulation (FAR) privacy contract clauses. |
| **4. IMPACT ANALYSIS:**<br><br>**How does this project or information system impact privacy?** | EERE HQ LAN, and specifically the EERE Data Center, is not publicly available, and the data is located on an encrypted drive. EERE HQ LAN contains sensitive HR related PII such as name, date of birth (DOB), place of birth, personal contact information (home address, phone numbers, email addresses), medical and health information (information related to handicaps/disabilities), salary information, clearance information, DOB and place of birth, employee number, etc.<br><br>EERE HQ LAN is designed to protect PII and mitigate privacy risk via the following administrative, technical, and physical controls:<br><br>• Strict access control enforcement based on need-to-know<br><br>This information provides a moderate risk to PII and the potential for privacy concerns if the system happened to be compromised is moderate. |

# MODULE II – PII SYSTEMS & PROJECTS

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| **5. SORNs**<br><br>**How will the data be retrieved? Can PII be retrieved by an identifier (e.g. name, unique number or symbol)?**<br><br>**If yes, explain, and list the identifiers that will be used to retrieve information on the individual.** | PII can be retrieved by an identifier, including name, addresses, phone numbers, DOB, employee number, salary information, etc., via the Cognos reporting tool. This data is also supplied to the Office of Electricity, where it is used in the Human Capital Planning Tool. |
| **6. SORNs**<br><br>**Has a Privacy Act System of Records Notice (SORN) been published in the *Federal Register*?**<br><br>**If "Yes," provide name of SORN and location in the *Federal Register*.** | YES, for retrieving HR data: OPM - Govt-1 Personnel Records, and DOE - 2 Supervisory Maintained Personnel Records. |
| **7. SORNs**<br><br>**If the information system is being modified, will the SORN(s) require amendment or revision?** | N/A. The EERE HQ LAN (including the EERE Data Center) goes through system modifications periodically, but not the types of modifications that would require an amendment or revision to the existing SORN. |

## DATA SOURCES

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| **8. What are the sources of information about individuals in the information system or project?** | The source of the HR data is the Department's HR database - DOEInfo. The information is submitted to the Department by employees when they are hired, as the information is used for human resource purposes. |
| **9. Will the information system derive new or meta data about an individual from the information collected?** | No. New or meta data is not derived from the individual's information. |
| **10. Are the data elements described in detail and documented?** | EERE HQ LAN HR data elements are labeled with field names within the database that provides a minor description of the information (i.e. names, addresses, phone numbers, addresses, employment information and salary information) the system collects. |

# MODULE II – PII SYSTEMS & PROJECTS

## DATA USE

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| **11. How will the PII be used?** | For the HR data, PII is used by HR personnel with the Office of Workforce Management for general HR purposes (e.g., initiate and track personnel actions to completion) and to generate internal reports (e.g., retention reports, years of service, office moves, etc.). The data is also used by individuals outside of the Workforce Management Office. The Knowledge Management and Systems Office (KMSO) EERE Data Center Contractor Support has access, along with KMSO federal staff, the Information Technology Services Office (ITSO) and the Operations Leadership team. Grades, pay codes and series, as well as people's names, are supplied to the SharePoint server for use in the Awards System and Telework. |
| **12. If the system derives meta data, how will the new or meta data be used?** <br><br> **Will the new or meta data be part of an individual's record?** | N/A. No meta data is derived from an individual's PII. |
| **13. With what other agencies or entities will an individual's information be shared?** | None. |

## Reports

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| **14. What kinds of reports are produced about individuals or contain an individual's data?** | Internal reports regarding HR related actions (e.g., retention reports, years of service, office moves) are generated using HR data. Other reports include the WMO Report Repository, which contains Federal Employees Off-Boarding, Organization Roster, Personnel Demographics, Time in Grade & Years in Service reports under Human Resources (CHRIS). Employees without Telework Agreement and Telework Agreement reports are available under Telework, and there are also Awards-related reports the Awards sections. Users who have access to HR data can build reports on their own as well. |
| **15. What will be the use of these reports?** | The use of these reports are to support general HR activities (e.g., to show retention, years of service, office moves, etc.) |
| **16. Who will have access to these reports?** | A limited number of personnel from the Office of Workforce Management and the EERE Data Center team. |

## Monitoring

# MODULE II – PII SYSTEMS & PROJECTS

| 17. Will this information system provide the capability to identify, locate, and monitor individuals? | The information system has no capability to identify, locate, or monitor individuals. |
|---|---|
| 18. What kinds of information are collected as a function of the monitoring of individuals? | The system does not monitor individuals. |
| 19. Are controls implemented to prevent unauthorized monitoring of individuals? | The EERE HQ LAN has physical and logical controls in place to prevent unauthorized monitoring of individuals. Security assessments are performed on an annual basis using the NIST SP 800-53 methodology, which would identify any unauthorized monitoring of individuals. |

## 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 HR data is pulled nightly from DOEInfo to ensure data is current, accurate and complete. The DOE HR team is responsible for verifying the accuracy of the data. |
|---|---|
| 21. If the information system is operated in more than one site, how will consistent use of the information be ensured at all sites? | EERE HQ LAN is operated at one site: DOE Headquarters. |

### Records Management

| 22. Identify the record(s). | HR data in the EERE Data Center pulled from the Department's HR database and the ARPA-E eXCHANGE database. |
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## MODULE II – PII SYSTEMS & PROJECTS

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| **23. Identify the specific disposition authority(ies) that correspond to the record(s) noted in no. 22.** | Check appropriately and cite as required.<br><br>☐ Unscheduled    X Scheduled *(cite NARA authority(ies) below)*<br><br>**HR Data**<br>• Intermediary Records<br>   o Data files output from electronic systems, created for the purpose of information sharing or reference<br>   o Ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report<br>   GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)<br>   Temporary.  Destroy upon verification of successful creation of the final document or file.<br><br>• Personally Identifiable Information Extracts<br>   GRS 4.2, Item 130 (DAA-GRS-2013-0007-0012)<br>   Temporary.  Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate. |
| **24. Records Contact** | Tia Alexander<br>Tia.Alexander@ee.doe.gov; 202-586-3135 |
| **ACCESS, SAFEGUARDS & SECURITY** | |
| **25. What controls are in place to protect the data from unauthorized access, modification or use?** | EERE HQ LAN has controls in place to prevent unauthorized access, modification, and use. For a detailed description of logical access controls in place, please reference EERE HQ LAN System Security Plan dated November 2021. |
| **26. Who will have access to PII data?** | A limited number of Human Resources personnel with the Office of Workforce Management have access to the HR data. In addition, EERE HQ LAN Administrators and the EDC Team will have access to PII maintained on HQ LAN. |
| **27. How is access to PII data determined?** | Access to the system and PII must commensurate with the employee's job description, roles, and responsibilities. The EDC Federal Leads have to approve access to the HR Data. All EERE HQ LAN users are required to sign the Rules of Behavior prior to having access to the network. |

PRIVACY
PROGRAM

## MODULE II – PII SYSTEMS & PROJECTS

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| **28. Do other information systems share data or have access to the data in the system? If yes, explain.** | HR data is extracted from DOE HR eOfflcial Personnel Files via the DOEInfo connection. It is a one way pull to the EERE Data Center. The data is encrypted during transmission. |
| **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?** | A Memorandum of Understanding (MOU) with DOEInfo for the HR data pull is in place. |
| **30. Who is responsible for ensuring the authorized use of personal information?** | EERE HQ LAN System Owner |

## END OF MODULE II

PRIVACY
PROGRAM

## SIGNATURE PAGE

| | Signature | Date |
|---|---|---|
| **System Owner** | _____<br>(Print Name)<br><br>_____<br>(Signature) | _____ |
| **Local Privacy Act Officer** | _____<br>(Print Name)<br><br>_____<br>(Signature) | _____ |
| *Ken Hunt*<br>**Chief Privacy Officer** | _____<br>(Print Name)<br><br>_____<br>(Signature) | _____ |