



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

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

Department of Energy

Privacy Impact Assessment (PIA)

MODULE I – PRIVACY NEEDS ASSESSMENT

Date	September 14, 2022	
Departmental Element & Site	Office of Information Management, EHSS-72 Office of Resource Management, EHSS-70 Associate Undersecretary Office of Environment, Health, Safety, and Security U.S. Department of Energy (DOE) DOE Germantown Computer Center (CA007) OCIO AWS Cloud Germantown, MD	
Name of Information System or IT Project	Web Document Services (WDS)	
Exhibit Project UID	Project UID: 019-20-01-22-02-3012-00 Contract Number: 05-002-01-03-104	
New PIA <input type="checkbox"/>	Periodic update.	
Update <input checked="" type="checkbox"/>		
	Name, Title	Contact Information Phone, Email
System Owner	Helen Heupel Office of Information Management, EHSS-72	(301) 903-9031 Helen.Heupel@hq.doe.gov
Local Privacy Act Officer	Raymond Holmer Office of Information Management, EHSS-72	(301) 903-7325 Raymond.Holmer@hq.doe.gov



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

MODULE I – PRIVACY NEEDS ASSESSMENT

<p>Cyber Security Expert reviewing this document (e.g. ISSM, CSSM, ISSO, etc.)</p>	<p>Krystal Hame Federal Cyber Security Lead Office of Information Management, EHSS-72</p>	<p>(301) 903-8283 Krystal.Hame@hq.doe.gov</p>
<p>Person Completing this Document</p>	<p>Shawn Pastor Contractor to the DOE Edgewater Federal Solutions</p>	<p>(202) 505-1277 Shawn.Pastor@hq.doe.gov</p>
<p>Purpose of Information System or IT Project</p>	<p>The Web Document Services (WDS) applications, managed by the Office of Environment, Health, Safety, and Security (EHSS), and hosted in the AWS Cloud provides alternative Internet publishing options for EHSS documents that are not posted on energy.gov. This is a broad purpose system that includes two Document Collections which require user authentication for access control, documents which are older than the permitted age on energy.gov, council/committee (energy and environmental) web sites which contain point of contacts (POCs) and information about involved public officials, as well as other miscellaneous information repositories that are acceptable to EHSS management. The documents included within WDS and the support services it offers is required to meet the needs of the EHSS organization.</p> <p>In addition to hosting data, documents, and publicly accessible sites WDS may also host registration sites for DOE sponsored workshops.</p> <p>WDS contains the following applications which support various EHSS business processes and operational needs: Suspect/Counterfeit and Defective Items (S-CI/DI), Government-Industry Data Exchange Program (GIDEP) Document Collection The Department of Energy is committed to ensuring that items and components installed in safety-related or mission-critical applications meet their intended function and operability requirements. Therefore, EHSS has established a process for identifying Suspect/Counterfeit (S/CI) or Defective Items (DI) that are deemed safety-significant and broadly applicable to DOE facilities and for ensuring that action is taken. This site also has a separate GIDEP document level. Access to these documents is based on registration and content owner approval.</p> <p>Differing Professional Opinion (DPO) form A submission form which enables professionals to submit written concerns related to environment, safety, and health. The form is backed by a database that collects the information and provides it to the application owner.</p> <p>10 CFR 851 Rule Variance System 10 CFR 851 is a Worker Safety and Health Program established to promulgate a worker safety and health rule. It establishes worker safety and health requirements that govern the conduct of contractor activities at non-nuclear, as</p>	



MODULE I – PRIVACY NEEDS ASSESSMENT

well as nuclear, sites.

The purpose of the 10 CFR 851 Rule Variance System is to provide alternative methods for specific requirements of DOE standards where equivalent levels of employee protection are provided. The System will track all variance applications from the initial application, through the management review and decision process, up to and including final approval or denial of the request. It enables the tracking by the application owner of contractor-submitted requests for variance exceptions under the 10 CFR 851 Variance Rule - Code of Federal Regulations Title 10, Chapter III, Part 851

EEOICPA Find Covered Facilities

A database supporting a publicly available searchable listing of health and safety reports concerning DOE facilities under the EEOICPA Act. Searches can be performed on name, location, and facility type.

Policy Information Resource (PIR)

The Policy Information Resource (PIR) website provides access to current Department of Energy (DOE) Safeguards and Security (S&S) requirements and the associated national policies.

Departmental Representative to the DNFSB (DEPREP)

This website contains correspondence, reports, DNFSB directives, explanatory information about the activities of the Departmental Representative. There is a large database that holds Portable Document Format (PDF) documents on “recommendation commitments performance” and “letter commitments performance.”

The documents on the DepRep website are PDF, WORD, and HTML files. They include DOE/Defense Nuclear Facilities Safety Board (DNFSB) correspondence, reports, memoranda, DOE implementation plans related to a specific DNFSB Recommendations, DNFSB Public Meetings and Hearings agendas and presentations. All these documents are associated with health and safety at DOE Defense Nuclear Facilities.

Safety Issues Management System (SIMS)

A database supporting the DEPREP website which provides a means to efficiently manage, distribute, and archive information pertaining to the interactions between DOE and the Defense Nuclear Facilities Safety Board (DNFSB).

CEQ/NEPA (National Environmental Policy Act)

A public website hosted by EHSS that provides Environment Quality Laws and Executive Orders, CEQ Regulations and Guidance, Publications, Reports, State Information, and Legal Information, all documents provided by the Executive Office of the President.

Operating Experience Summaries

The DOE Corporate Operating Experience Program helps to prevent the recurrence of significant adverse events/trends by sharing performance information, lessons learned and good practices across the DOE complex.

Workshops

Workshops organized and presented by EHSS or EA share information (agenda, presenters, etc.) about the event via a public website here. In addition to the information sharing, there is also a registration function provided on this site



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

MODULE I – PRIVACY NEEDS ASSESSMENT

to collect information (name, office address, phone number, organization, number of days of attendance, side group's attendance, etc.) about the registrant. The workshop information usually begins as a one-page website that hosts the agenda and later, after the workshop, presentations and slides provided during the workshop may be added, but only for a short while until the website is disabled.

Note that old workshops which have been disabled for access are maintained in the database as templates for future workshops after the PII user data is archived off-line for the workshop owner. Annual reviews remove workshops which have been disabled for more than three (3) years.

Ask a Question - Drug Testing for DOE Positions

This form allows DOE applicants to submit questions either anonymously or not.

Human Radiation Experiments Index (DOE archived site)

The Office of Human Radiation Experiments, established in March 1994, leads the Department of Energy's efforts to tell the agency's Cold War story of radiation research using human subjects. We have undertaken an intensive effort to identify and catalog relevant historical documents from DOE's 3.2 million cubic feet of records scattered across the country. Internet access to these resources is a key part of making DOE more open and responsive to the American public.

Seismic Evaluation Procedure

The guidance provided in DOE/EH-0545, *Seismic Evaluation Procedure for Equipment in U.S. Department of Energy Facilities*, must be used with the appropriate training and judgment as discussed throughout the Procedure. Before applying the methodology in this Procedure, the reference material for the Seismic Qualification Utility Group (SQUG) Generic Implementation Procedure (GIP) should be carefully studied. The methodology is not a "cookbook" approach because it requires an extensive use of judgment and a thorough understanding of the basis for the methodology. If differences are not marked appropriately in the sections of the DOE Seismic Evaluation Procedure which are taken directly or modified from the SQUG GIP, then the corresponding information in the SQUG GIP should be followed.

Engineers who use the DOE Seismic Evaluation Procedure are responsible for its appropriate application, their level of training, and their use of judgment. The developers of the Procedure assume no responsibility for specific applications of the methodology.

Peer review is a vitally important component of seismic evaluations of equipment and distribution systems at DOE facilities. The evaluation procedures described in DOE/EH-0545 involve an extensive use of engineering judgment. This type of judgment must be independently reviewed to ensure that significant details are not overlooked or improperly evaluated.

DOE USAccess Map

The DOE USAccess Map application provides an interactive PIV credentialing map of all DOE USAccess locations based on provided geographic information, so that current and prospective DOE employees can directly access (i.e., self-service) and locate DOE credentialing sites which deliver services.



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

MODULE I – PRIVACY NEEDS ASSESSMENT

Application	PII	PII Type	Usage	How PII is retrieved	Why is PII retrieved
Suspect/Counterfeit and Defective Items (S-CI/DI, GIDEP) Document Collection	No	N/A			
Differing Professional Opinion (DPO) form	Yes	Non-Sensitive	Name, Email, Phone Number, Address	<ul style="list-style-type: none"> PII data cannot be retrieved from this application. 	<ul style="list-style-type: none"> PII Information is collected for contact purposes
10 CFR 851 Rule Variance System	Yes	Non-Sensitive	Name, Email, Phone Number, Address	<ul style="list-style-type: none"> WDS System admins and authorized application admins can retrieve Name, email, address, and phone number of approved users from user administration screens WDS System admins and authorized application admins can retrieve Name, email, address, and phone number from Variance requests 	<ul style="list-style-type: none"> PII information is collected for contact purposes
EEOICPA Find Covered Facilities	No	N/A			
Policy Information Resource (PIR)	Yes	Non-Sensitive	Name, Email	<ul style="list-style-type: none"> PIR collects user information for admins who are authorized to make changes to the application. 	<ul style="list-style-type: none"> PII is collected for contact and authentication purposes
Departmental Representative to the DNFSB (DEPREP)	Yes	Non-Sensitive	Name, Email, Phone Number	<ul style="list-style-type: none"> WDS System admins and authorized application admins can retrieve Name, email, and phone number of approved users from user administration screens 	<ul style="list-style-type: none"> PII information is collected for contact purposes
CEQ/NEPA (National Environmental Policy Act)	No	N/A			
Workshops	Yes	Non-Sensitive	Name, Email, Phone Number, Address	<ul style="list-style-type: none"> WDS System admins and authorized application admins can retrieve Name, email, and phone number of approved users from user administration screens 	<ul style="list-style-type: none"> PII information is collected for contact purposes
Ask a Question - Drug Testing for DOE Positions	Yes	Non-Sensitive	Name, Email	<ul style="list-style-type: none"> PII Information cannot be retrieved from the application, instead a notification is sent to an authorized application admin with all details 	<ul style="list-style-type: none"> PII information is collected for contact purposes
Human Radiation Experiments Index	No	N/A			
Seismic Evaluation Procedure	No	N/A			
DOE USAccessMap	No	N/A			

PII for the WDS applications are protected by numerous controls. The information types and system inventory



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

MODULE I – PRIVACY NEEDS ASSESSMENT

within the authorization boundary of WDS meet mission and support impact requirements as defined by Section 5, NIST SP 800-60 Rev 1. WDS has been assigned an overall security categorization of Moderate during the FIPS 199 categorization process. WDS has its own Active Directory that is separate from the DOE HQ LAN Active Directory. WDS operations personnel implement access control groups within the Active Directory (AD) services from a second EHSS system, Reporting Databases and Services (RDS), which is also on the AWS cloud managed by DOE Office of the Chief Information Officer (OCIO) Energy Information Technology Services (EITS) These AD services control access for each application and each user in furtherance of the security and integrity of the system. The WDS system undergoes a yearly assessment of its Authorization Boundary and its applications from a security controls perspective as well as an Authority to Operate (ATO) from the Authorizing Official (AO) every three years.

Type of Information Collected or Maintained by the System:

- SSN
- Medical & Health Information
- Financial Information
- Clearance Information
- Biometric Information
- Mother's Maiden Name
- DoB, Place of Birth
- Employment Information
- Criminal History
- Name, Phone, Address
- Other – Please Specify –
Agency Email

Has there been any attempt to verify PII does not exist on the system?

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, Phone number, address, and work email are collected from a user when they request registration for application usage.



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

MODULE I – PRIVACY NEEDS ASSESSMENT

name, biometric 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)

A manual inspection of the data table/site report and verification of PII information with Data Owner and System Owner was conducted during each phase of the project lifecycle. The low level PII information is listed in the “Type of Information” section above.

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?

- Federal Employees
- Contractor Employees

END OF PRIVACY NEEDS ASSESSMENT

MODULE II – PII SYSTEMS & PROJECTS

AUTHORITY, IMPACT & NOTICE



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS

<p>1. AUTHORITY</p> <p>What specific authorities authorize this system or project, and the associated collection, use, and/or retention of personal information?</p>	<p>In response to the E-Government Act of 2002, the Web Services investment maximizes the sharing and efficient use of data and information in support of DOE and specifically EHSS. These services ensure that needed information is obtained in a timely manner in support of these management strategic goals. Specifically, the investment supports the DOE Strategic Plan by ensuring the safety and health of the DOE workforce and members of the public, and the protection of the environment in all Departmental activities.</p>
<p>2. CONSENT</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>Personal information is provided directly by the users who request to register for workshops, access Document Collections, or other information repositories. Users may choose to cancel the process at any time. All personal information is provided on a voluntary basis and is only used for the specific registration requested by the user.</p> <p>In addition to individually provided information, contact information of POCs for various council/committees and involved public officials is posted, but only with their consent.</p>
<p>3. CONTRACTS</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>DOE contractors involved with the design, development, and maintenance of this system operate under contracts which contain the appropriate Privacy Act clauses.</p>



MODULE II – PII SYSTEMS & PROJECTS

<p>4. IMPACT ANALYSIS:</p> <p>How does this project or information system impact privacy?</p>	<p>WDS is rated as a moderate-impact system according to the criteria set forth in Federal Information Processing Standard 199 established by the National Institute of Standards and Technology (NIST). The risk rating is used to determine the effect to the agency should the system’s confidentiality, integrity, or availability be compromised. The unauthorized disclosure of information is expected to have adverse effect on organizational operations, organizational assets, or individuals.</p> <p>WDS poses a low privacy risk to individuals in light of the low sensitivity and administrative nature of the PII contained in the system. Information within WDS that can be used to personally identify an individual is relegated to name and contact information.</p> <p>WDS observes a number of protections to mitigate privacy risk as contemplated by the Fair Information Practice Principles (FIPPs). Users voluntarily provide their own information for the purpose of gaining access to information and register for workshops to further individual participation. Contact information about council/committee members are published because of their elected or appointed position. Although this contact information is available through other sites, consent is confirmed before its posting via WDS. WDS emphasizes individual consent to protect individuals’ privacy.</p> <p>WDS collects only data that is required for validation and authentication purposes in observance of data minimization and purpose specification. The documents have guidelines of form elements limiting information to only what is required, employees and contractors with access undergo privacy training to limit the potential involvement or exposure of PII, and these Document Collections require permission before access is granted.</p> <p>In addition, individual participation combined with a series of technical and administrative controls including monthly reviews help ensure data quality.</p>
<p>5. SORNs</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>Information used to access information within WDS applications are included in the Technology Domain Active Directory (AD) and subject to AD lookups, such as queries for email addresses. PII data is used for exclusively administrative purposes with regards to account creation, changes, or removals.</p> <p>Additional information about how PII data is retrieved, see the PII table in the “Purpose of Information System or IT Project” section.</p>



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS

<p>6. SORNs</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>No. PII is not retrieved by unique identifier for non-administrative purposes.</p>
<p>7. SORNs</p> <p>If the information system is being modified, will the SORN(s) require amendment or revision?</p>	<p>N/A</p>
<p>DATA SOURCES</p>	
<p>8. What are the sources of information about individuals in the information system or project?</p>	<p>User information is provided directly by the individual on a voluntary basis when they request access to data or register for a workshop.</p> <p>Public officials provide or grant permission to use their PII, which is also available on other public sites.</p>
<p>9. Will the information system derive new or meta data about an individual from the information collected?</p>	<p>No new data or meta data is derived from the PII collected by WDS applications.</p>
<p>10. Are the data elements described in detail and documented?</p>	<p>The data entry forms for users are part of the WDS applications. The forms have default form elements.</p>

DATA USE



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS

<p>11. How will the PII be used?</p>	<p>If a user’s request for access is approved by the data owner, their PII will be used to authorize access into the WDS application. Periodically, the information will be used to validate their continued access to the application to maintain the integrity of the system and its data.</p> <p>If a user registers for a workshop, their PII will be included in the list of registered attendees. This information will be used to authorize attendance to the workshop and send mailings.</p> <p>Information about public officials is published to allow communication with specific contacts within the state and local governments.</p>
<p>12. If the system derives meta data, how will the new or meta data be used?</p> <p>Will the new or meta data be part of an individual’s record?</p>	<p>WDS will not derive new or meta data about individuals from the information provided.</p>
<p>13. With what other agencies or entities will an individual’s information be shared?</p>	<p>PII information within WDS is not shared with other agencies.</p>
<p>REPORTS</p>	
<p>14. What kinds of reports are produced about individuals or contain an individual’s data?</p>	<p>PII will be included in the list of attendees for a registered workshop.</p>
<p>15. What will be the use of these reports?</p>	<p>This information will be used to authorize attendance/admittance to the workshop and send mailings.</p>
<p>16. Who will have access to these reports?</p>	<p>WDS administrators and workshop staff will have access to this information.</p>
<p>MONITORING</p>	
<p>17. Will this information system provide the capability to identify, locate, and monitor individuals?</p>	<p>No.</p>



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS	
18. What kinds of information are collected as a function of the monitoring of individuals?	N/A
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.	<p>Account access information is maintained in the Technology domain AD database, which is available to the user. The user may update the information when needed.</p> <p>Registration information is only valid until the workshop. Upon completion of the workshop, the information is removed from WDS.</p> <p>The information about public officials will be updated when the administrator is provided new information.</p>
21. If the information system is operated in more than one site, how will consistent use of the information be ensured at all sites?	All WDS information is maintained only in the DOE Germantown data center.
RECORDS MANAGEMENT	
22. Identify the record(s).	User data in AD is maintained per policies set by the OCIO for the technology domain. User-entered data (first and last name, email address, phone number, city, state, zip, and office) in a workshop registration form is maintained within WDS until the workshop is completed. After the workshop, this information is downloaded for record retention by the coordinator and removed from WDS.
23. Identify the specific disposition authority(ies) that correspond to the record(s) noted in no. 22.	GRS 3.1 item 020 and GRS 5.1 item 010.
24. Records Contact	Baldev Dhillon, EHSS-70 (301) 903-0990 baldev.dhillon@hq.doe.gov



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS

ACCESS, SAFEGUARDS & SECURITY

<p>25. What controls are in place to protect the data from unauthorized access, modification or use?</p>	<p>The System Owner has implemented and tested all baseline security controls appropriate to its FIPS categorization in accordance with the DOE Enterprise Information Technology Services (EITS) Program Cyber Security Plan (PCSP) and DOE Directives. Technical and administrative controls in place include the use of a separate backend database, an access control list using DOE Active Directory services, and monthly review of the website. Firewalls are also in place to prevent unauthorized traffic from reaching the system.</p>
<p>26. Who will have access to PII data?</p>	<p>User account information for accessing the applications is accessible by the WDS system administrators and the Technology domain administrators.</p> <p>User registration information is accessible by the WDS system administrators and by the workshop coordinators.</p> <p>When posted to the Internet, information about public officials and council/committee POCs are available to the public but can only be modified by the system administrator.</p>
<p>27. How is access to PII data determined?</p>	<p>See information provided to question 26.</p>
<p>28. Do other information systems share data or have access to the data in the system? If yes, explain.</p>	<p>Upon approval, user account request information is entered to the Technology domain AD database, which will control access to the WDS applications.</p>
<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>	<p>No.</p>
<p>30. Who is responsible for ensuring the authorized use of personal information?</p>	<p>Responsible individuals include: System Owner, Application Owner, System Administrators, EHSS and DOE Privacy Officers, and the OCIO.</p>

END OF MODULE II



PRIVACY IMPACT ASSESSMENT: EHSS Web Document Services (WDS)
PIA Template Version 5 – August 2017

SIGNATURE PAGE		
	Signature	Date
System Owner	<p>Helen Heupel</p> <hr/> <p>(Print Name)</p> <hr/> <p>(Signature)</p>	<hr/>
Local Privacy Act Officer	<p>Raymond Holmer</p> <hr/> <p>(Print Name)</p> <hr/> <p>(Signature)</p>	<hr/>
Chief Privacy Officer	<hr/> <p>(Print Name)</p> <hr/> <p>(Signature)</p>	<hr/>