

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



Privacy Impact Assessment

**NESDIS Center for Satellite Applications and Research (STAR)
Local Area Network (LAN)**

NOAA5018

Reviewed by: _____, Bureau Privacy Officer or Designee

Approved by: , DOC Chief Privacy Officer

Date approved: 7/27/15

U.S. Department of Commerce Privacy Impact Assessment NOAA/STAR LAN

Unique Project Identifiers: 006-48-01-16-01-3201-00 and 006-48-01-16-01-3202-00

Introduction: System Description

NOAA5018 is the main scientific and administrative IT system for the National Environmental Satellite, Data, and Information Service (NESDIS) Center for Satellite Applications and Research (STAR). STAR is the science arm of NESDIS, which acquires and manages the nation's environmental satellites for the National Oceanic and Atmospheric Administration (NOAA). STAR research activities, integral to the implementation of NOAA's research priorities, are aligned with and carried out in direct support of NOAA and NESDIS programs, strategic goals, and performance objectives.

STAR's mission is to accelerate the transfer of satellite observations of the land, atmosphere, ocean, and climate from scientific research and development into routine operations, and offer state-of-the-art data, products and services to decision-makers.

NOAA5018's system consists of approximately 275 Red Hat Linux servers and approximately 290 Microsoft Windows 7 Professional computers. The system also utilizes a few IBM AIX servers, Sun Solaris servers, OpenBSD servers, and Macintosh laptops. These computers all reside on a private firewalled network, located at the NOAA Center for Weather and Climate Prediction (NCWCP), 5830 University Research Court, College Park, MD 20740.

The Linux/UNIX servers are used for scientific computing. The Windows 7 computers function mainly as desktop environments for the system's approximately 290 users.

The Security Categorization of NOAA5018 has been determined to be *moderate* using the guidance in FIPS 199 and NIST SP 800-60.

NOAA5018 is primarily used for scientific research and development. In this respect, it primarily contains scientific data, code, documentation, publications, etc.

The system also facilitates the administrative functions of STAR, such as budgeting, reporting, and purchasing.

NOAA5018 does not facilitate e-Commerce or other similar transactions. Rather, typical NOAA5018 "transactions" include scientific processes, and scientific data input, output, and production.

The legal authority for collection of information addressed in this PIA is:

5 U.S.C. § 301 authorizes the operations of an executive agency, including the creation, custodianship, maintenance and distribution of records.

There is no sharing of the PII and BII, within the bureau or outside the bureau. NOAA5018 deals with four areas of PII/BII, around which this Privacy Impact Assessment (PIA) is organized. They are:

1. Work-Related PII/BII other than Continuity of Operations (COOP)

NOAA5018 maintains the following Work-Related PII/BII for all STAR personnel, federal employees and contractors, in order to maintain a STAR personnel roster for administrative purposes:

- Name
- Work Email Address
- Job Title
- Work Address
- Work Telephone Number

2. COOP PII/BII

STAR federal employees are requested to provide their home and/or cell telephone numbers for contact during a COOP situation. It is not mandatory.

3. IT Administration PII/BII

NOAA5018 maintains the following PII/BII in order to facilitate the IT administration, and especially the IT Security administration, of the system:

- User ID
- IP Address
- Date/Time of Access
- File Contents.

4. Acquisition and Grants PII/BII

The NOAA5018 system is also used for acquisitions and grants, retaining private companies' quotes and proposals. Acquisition and Grants information is not retrieved by means of PII, or by a number which is linked to PII, but by the acquisition name or number.

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): | | | | | |

| General Personal Data (GPD) | | | | | |
|--|---|---------------------|---|-----------------------------|--|
| a. Name | X | g. Date of Birth | | m. Religion | |
| b. Maiden Name | | h. Place of Birth | | n. Financial Information | |
| c. Alias | | i. Home Address | | o. Medical Information | |
| d. Gender | | j. Telephone Number | X | p. Military Service | |
| e. Age | | k. Email Address | | q. Physical Characteristics | |
| f. Race/Ethnicity | | l. Education | | r. Mother's Maiden Name | |
| s. Other general personal data (specify): Cellular phone number for the COOP list, as an alternative to home telephone number. | | | | | |

| Work-Related Data (WRD) | | | | | |
|---------------------------------------|---|------------------------|---|-----------------|--|
| 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 | | | |
| i. Other work-related data (specify): | | | | | |

| Distinguishing Features/Biometrics (DFB) | | | | | |
|--|--|--------------------------|--|----------------------|--|
| 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): | | | | | |

| System Administration/Audit Data (SAAD) | | | | | |
|--|---|------------------------|---|----------------------|---|
| a. User ID | X | c. Date/Time of Access | X | e. ID Files Accessed | |
| b. IP Address | X | d. Queries Run | | f. Contents of Files | X |
| g. Other system administration/audit data (specify): | | | | | |

| Other Information (specify) | | | | | |
|--|--|--|--|--|--|
| Private companies' quotes and proposals. | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

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

| Directly from Individual about Whom the Information Pertains | | | |
|--|---|---------------------|--------|
| In Person | X | Hard Copy: Mail/Fax | Online |
| Telephone | X | Email | X |
| Other (specify): | | | |

| Government Sources | | | |
|----------------------|---|-------------------|------------------------|
| Within the Bureau | X | Other DOC Bureaus | Other Federal Agencies |
| State, Local, Tribal | | Foreign | |
| Other (specify): | | | |

| Non-government Sources | | | |
|-------------------------|--|------------------------|----------------|
| Public Organizations | | Public Media, Internet | Private Sector |
| Commercial Data Brokers | | | X |
| 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.

| Purpose | | | |
|--|---|--|--|
| To determine eligibility | | For administering human resources programs | |
| For administrative matters | X | To promote information sharing initiatives | |
| For litigation | | For criminal law enforcement activities | |
| For civil enforcement activities | | For intelligence activities | |
| Other (specify): For COOP procedures, and procurement and grant activities | X | | |

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).

Work-Related PII/BII other than COOP

NOAA5018 maintains work-related PII/BII for all STAR personnel, federal employees, and contractors in order to maintain a STAR personnel roster for administrative purposes, such as the ability to produce a list of all STAR personnel, to answer internal and external actions, and to simply know who is working for the organization.

COOP PII/BII

STAR federal employees are requested to provide their home and/or cell telephone numbers for use in a phone-tree, in order to contact them during a COOP situation. It is not mandatory.

IT Administration PII/BII

NOAA5018 maintains PII/BII on employees and contractors in order to facilitate the IT administration, and especially the IT Security administration, of the system. STAR is often required to be able to produce this information, for instance, during an IT security incident reported to NOAA Computer Incident Response Team (N-CIRT).

Acquisition and Grants PII/BII

Quotes and proposals from members of the public for contracts and grants are used by STAR and the NOAA Acquisition and Grants Office while administering contracts and grants to provide services, hardware, software, and maintenance, in support of STAR's mission.

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 | | | | |
| 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. | <p>Specify how:</p> <p><u>Work-Related PII/BII other than COOP</u> Personnel (federal employees and contractors) are notified of the STAR staff roster (on the STAR Intranet) in the Welcome Letter they receive upon activation of their NOAA email and STAR IT accounts.</p> <p><u>COOP PII/BII</u> Federal employees are notified, either by phone or verbally, by the STAR COOP point of contact (POC), that home and/or cell telephone numbers are being requested for the STAR COOP phone tree.</p> <p><u>IT Administration PII/BII</u> Notification is provided by logon banners which inform all IT users that their information and system use is subject to monitoring.</p> <p><u>Acquisition and Grants PII/BII</u> The Federal Acquisition Regulation (FAR), Part 24 -- Protection of Privacy and Freedom of Information, includes extensive notifications concerning PII/BII issues. Contracting officers insert FAR notifications into solicitations as needed, e.g. (a) the clause at 52.224-1, Privacy Act Notification and (b) the clause at 52.224-2, Privacy Act. Therefore, notification is provided when the applicant reads the solicitation.</p> |
| | No, notice is not provided. | Specify why not: |

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

| | | |
|---|---|---|
| X | Yes, individuals have an opportunity to decline to provide PII/BII. | <p>Specify how:</p> <p><u>Work-Related PII/BII other than COOP</u> When personnel (federal employees and contractors) are notified of the STAR staff roster (on the STAR Intranet) in the Welcome Letter they receive upon activation of their NOAA email and STAR IT accounts, they have the opportunity to decline the use of their names in order to generate their work email address, job title, work address, and work telephone number for the staff roster. This roster is the only use of their PII.</p> <p><u>COOP PII/BII</u> The STAR COOP point of contact (POC) requests home and/or cell telephone numbers from federal employees only, either in person or via phone call. As part of the request, personnel are instructed not to email their numbers, and informed that provision of this information is not mandatory.</p> <p><u>Acquisition and Grants PII/BII</u> This information is required for competition and award of acquisitions and grants. Members of the public may decide not</p> |
|---|---|---|

| | | |
|---|---|--|
| | | to complete the information; however, not providing the information would preclude submission of proposals. |
| X | No, individuals do not have an opportunity to decline to provide PII/BII. | Specify why not: <u>IT Administration PII/BII</u> Information is generated automatically when the user logs on to complete assigned work; thus, there is no opportunity to decline to provide PII/BII. |

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: <u>Work-Related PII/BII other than COOP</u> When personnel (federal employees and contractors) are notified of the STAR staff roster (on the STAR Intranet) in the Welcome Letter they receive upon activation of their NOAA email and STAR IT accounts, they have the opportunity to consent to the use of their names in order to generate their work email address, job title, work address, and work telephone number for the staff roster. This roster is the only use of their PII. <u>COOP PII/BII</u> Federal employees are informed, either by phone or verbally, by the STAR COOP POC, that provision of this information is not mandatory, and that provision implies consent of use in the STAR COOP phone tree. <u>IT Administration PII/BII</u> Logon banners prompt users that their use of the NOAA5018 IT System requires and implies their consent to monitoring, which they give by continuing the logon process. <u>Acquisition and Grants PII/BII</u> Vendors are advised by the FAR that submitting proposals implies their consent to the use of their PII/BII in their proposals. |
| | 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.

| | | |
|---|---|--|
| X | Yes, individuals have an opportunity to review/update PII/BII pertaining to them. | Specify how: <u>Work-Related PII/BII other than COOP</u> Personnel (federal employees and contractors) are notified in the Welcome Letter they receive upon activation of their NOAA email and STAR IT accounts of how they can review and update their information. |
|---|---|--|

| | | |
|--|---|---|
| | | <p><u>COOP PII/BII</u> Federal employees are informed when contacted by a COOP administrator that they can review and update their home/cell telephone numbers by examining the STAR COOP phone tree and advising the STAR COOP POC of changes.</p> <p><u>IT Administration PII/BII</u> Users can, via HelpDesk ticket, request to review their IT Administration PII/BII (Queries, User ID, IP Address, Date/Time of Access). Users may review and update their file contents on the applicable IT equipment.</p> <p><u>Acquisition and Grants PII/BII</u> Vendors may resubmit non-final contract proposals with corrected information. Grant recipients (members of the public) can review and update their PII/BII via the NOAA Grants Online system.</p> |
| | No, individuals do not have an opportunity to review/update PII/BII pertaining to them. | Specify why not: |

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. |
| X | All users are subject to a Code of Conduct that includes the requirement for confidentiality. |
| X | Staff received training on privacy and confidentiality policies and practices. |
| X | Access to PII/BII is restricted to authorized personnel only. |
| X | The information is secured in accordance with FISMA requirements. Provide date of most recent Assessment and Authorization: <u>12/16/2014</u> |
| 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 existing system of records notices, as follows: DEPT-18: Employees Personnel Files Not Covered By Notices of Other Agencies |
| | Yes, a system of records notice has been submitted to the Department for approval on (date). |
| | 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. Provide the name of the record control schedule: NESDIS/STAR Records Management Guide (under NOAA Records Chapter 1405) |
| | No, there is not an approved record control schedule. 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: |