

U.S. Department of Commerce
NOAA



Privacy Impact Assessment
for the
National Climatic Data Center
Local Area Network
(NOAA5009)

Reviewed by: _____, Bureau Privacy Officer or Designee

Approved by:  _____, DOC Chief Privacy Officer

Date approved: 2/10/2015

U.S. Department of Commerce Privacy Impact Assessment National Climatic Data Center (NCDC)

Unique Project Identifier: 006-48-00-00-01-3209-00-108-023 (NOAA National Data Systems)

Introduction: System Description

NCDC is the official data management entity for meteorological and climatological information in the United States, with additional global data management commitments defined by international agreement and scientific need. Its core responsibility is to ensure secure storage and scientific data stewardship of its holdings, including both remotely- and directly-sensed climate data records including related and derived environmental information. In addition, NCDC performs essential data management functions that include data acquisition and archival rescue, quality (assurance, control, and validation), metadata cataloging, reprocessing, secure storage, retrieval, dissemination, and archival. NCDC also performs data synthesis (climate description, monitoring, modeling, and assessment) and data and information dissemination, including reports and graphical information.

As part of its annual Authorization and Assessment schedule, NCDC must maintain a contingency plan. Within this contingency plan, NCDC collects and maintains the personal phone numbers and email addresses of key employees in order to contact them should a contingency event occur. These are stored within the Contingency Plan, which is stored on a shared drive on the NCDC Windows network. The following information is collected and maintained on certain federal and contractor employees:

- Employee's Name
- Personal email address
- Personal phone number

See Statutory Authority 5 U.S.C. 1302.

NCDC also maintains information in performance plans for federal employees. NCDC currently has several shared folders on its Active Directory domain that contain personnel performance appraisals. This information is not shared by anyone other than those needing access to those appraisals.

The following information is collected in each federal employee's performance plan and appraisal:

- A. Employee's name
- B. Dates for the period of performance
- C. Title, Series, and Grade of the position
- D. Employee's Division (where assigned)
- E. Information about the employee's work and work performance, constituting the plan or appraisal

See Statutory Authority 5 U.S.C. 1302.

NCDC allows public access to its data products through an online store (NES2). NCDC does accept credit cards for data product purchases that require payment. Those credit card numbers are entered directly into the Pay.gov system. The credit card numbers are not stored at NCDC. The information collected by NCDC for its product customers are:

- Name
- Address

- Email address (optional)
- Phone number (optional)

See Statutory Authorities 15 U.S.C. 1151, 1152, and 1153, as well as 5 U.S.C 301, Departmental Regulations and 15 U.S.C. 1512 - Sec. 1512, Powers and Duties of Department [of Commerce].

This is a moderate impact system.

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	
b. Taxpayer ID		f. Driver's License	
c. Employee ID		g. Passport	
d. File/Case ID		h. Credit Card	
i. Financial Account			
j. Financial Transaction			
k. Vehicle Identifier			
l. Employer ID Number			
m. Other identifying numbers (specify):			

General Personal Data (GPD)			
a. Name	X	g. Date of Birth	
b. Maiden Name		h. Place of Birth	
c. Alias		i. Home Address	X
d. Gender		j. Telephone Number	X
e. Age		k. Email Address	X
f. Race/Ethnicity		l. Education	
m. Religion			
n. Financial Information			
o. Medical Information			
p. Military Service			
q. Physical Characteristics			
r. Mother's Maiden Name			

Work-Related Data (WRD)			
a. Occupation		d. Telephone Number	
b. Job Title	X	e. Email Address	X
c. Work Address	X	f. Business Associates	
g. Salary			
h. Work History			
i. Other work-related data (specify): Series, and Grade, Employee's Division (where assigned), information about the employee's work and work performance, dates for period of performance			

Distinguishing Features/Biometrics (DFB)			
a. Fingerprints		d. Photographs	
b. Palm Prints		e. Scars, Marks, Tattoos	
c. Voice Recording/Signatures		f. Vascular Scan	
g. DNA Profiles			
h. Retina/Iris Scans			
i. Dental Profile			
j. Other distinguishing features/biometrics (specify):			

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

Other Information (specify)

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	X	Online	X
Telephone	X	Email			
Other (specify):					

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

Non-government Sources					
Public Organizations	X	Public Media, Internet		Private Sector	X
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.

Purpose			
To determine eligibility		For administering human resources programs	
For administrative matters	X	To promote information sharing initiatives	X
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).

A. As part of its annual Authorization and Assessment schedule, NCDC must maintain a contingency plan. Within this contingency plan, NCDC collects and maintains the personal phone numbers and email addresses of key employees in order to contact them should a contingency event occur. The following information is collected and maintained on certain federal and contractor employees:

- Employee's Name
- Personal email address
- Personal phone number

B. NCDC also maintains performance plans for federal employees. NCDC currently has several shared folders on its Active Directory domain that contain personnel performance appraisals. Performance plans are conducted annually on all federal employees. The following information is collected in each federal employees performance plan and appraisal:

- Employee's name
- Dates for the period of performance
- Title, Series, and Grade of the position
- Employee's Division (where assigned)
- Information about the employee's work and work performance, constituting the plan or appraisal

Performance Plans and the Contingency Plan on shared drives must be accessed by CAC Authentication, and principal of least privilege is enforced on the shared drives. General policies for the performance plans being stored on shared drives:

- Principal of Least privilege is invoked by giving access to only those users who need to view the documents.
 - If an account is required to be added to be able to view the plans, it must first go through the owner of the folder for approval.
- Write access is given only to those employees who are authorized to make changes. All others have read-only access.

C. NCDC offers data out to the public through its website. In order for the data to be shipped to the customer, the customer must provide their name and mailing address. It is optional for the customer to leave their phone number and email address as another way of communication. Customers also provide credit card numbers but they are entered directly into pay.gov, therefore, they are not stored at NCDC. Data is ordered by members of the public, state and local governments, other federal agencies, and businesses.

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.

X	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: A link to the NOAA Privacy Policy is located on the customer order page of the online store. Employees are provided this information verbally (face to face, or over the telephone if in different buildings) at the time the PII is collected by Human Resources.
	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.	Specify how: When ordering public data, the customer can choose not to enter their personal email address and phone number.
X	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not: The information in the performance plan is required for employment. The information in the Contingency Plan is required for emergency situations during a contingency event. Therefore on these particular items, they cannot decline to provide the information. Name and address are required for shipping the product. A link to the NOAA Privacy Policy is located on the customer order page of the online store.

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	Specify how: Customers are provided a link to the Privacy Policy on the customer order page. The NOAA Web site privacy
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	PII/BII.	policy states "Submitting voluntary information constitutes your consent to the use of the information for the stated purpose. When users click the "Submit" button on any of the Web forms found on our site, they are indicating voluntary consent to use of the information they submit for the stated purpose."
X	No, individuals do not have an opportunity to consent to particular uses of their PII/BII.	Specify why not: The information collected in the performance plans and contingency plan is required, however users are notified in person or by email from their Human Resources Office or COOP Coordinator of the authority for and purpose and use of the collection of information subject to the Privacy Act.

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: Employees review and discuss performance plans with supervisors during annual performance plan meetings. Any updates will be made at that time. The NCDC Contingency Plan is updated annually. Employees are required at the time to note any change in their personal email address or personal phone number and send updates to the NCDC HR Management Analyst. Customers can see their account at any time when ordering products online. They can change their PII information under their account.
	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 PLA is approved.

	All users signed a confidentiality agreement.
	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>8/6/2014</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 an existing system of records notice. Provide the system name and number: -The existing Privacy Act system of records notice for DEPT-18, Employees Personnel Files Not Covered By Notices of Other Agencies, apply to the personal information in this system. NOAA-11, Contact Information for Members of the Public Requesting or Providing Information Related to NOAA's Mission, has been updated and is under review at DOC.
	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. Yes Provide the name of the record control schedule: NOAA Disposition Handbook Chapter 200-23 (Personnel Files)
	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: