

# Privacy Impact Assessment APHIS Domino System

Technology, Planning, Architecture, & E-Government

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# Privacy Impact Assessment for the APHIS Domino System

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**Contact Point – APHIS Domino**

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## Abstract

The applications Emergency Qualification System (EQS), the Personnel Action and Tracking System (PATS) and the underlying Domino server have been combined as the APHIS Domino system and are being assessed and authorized under a single accreditation boundary.

APHIS EQS is the record keeping system used to store the skills, qualifications and contact information of emergency response personnel.

PATS is an electronic SF-52 (Request for Personnel Action) input and tracking system. Customers electronically complete a “Request for Personnel Action” (SF-52); submit the SF-52 to the Human Resources Division (HRD) and track the SF52 submission as it routes throughout the appropriate sections within HRD.

Based on the Privacy Threshold Analysis (PTA) it was determined that the systems collect PII data and a PIA needs to be completed.

## Overview

The Marketing and Regulatory Programs Business Services unit of USDA's Marketing and Regulatory Programs (MRP) provides resource management and administrative services to support the objectives of the three MRP agencies--the Agricultural Marketing Service (AMS), the Animal and Plant Health Inspection Service (APHIS), and the Grain Inspection, Packers and Stockyards Administration (GIPSA).

Organizationally MRPBS is located within APHIS, which is the lead agency in providing administrative support for MRP. MRPBS has several divisions which address a variety of employee and customer needs, to provide administrative support services in the areas of budget, finance, human resources, information technology, procurement, property management, and related administrative services.

This PIA is being created for the APHIS Domino Application server that hosts the following two applications at the USDA National Information Technology Center (NITC), located at 8930 Ward Parkway Kansas City, MO 64114.

- Employee Qualification System (EQS) and
- Personnel Action and Tracking System (PATS)

**EQS** - The EQS application is a database developed in Domino Lotus Notes v8.5.2, which is used as the APHIS central repository for secure storage of skills and qualifications for emergency response personnel, and to support the categorization of personnel into APHIS emergency response positions. APHIS leverages this capability to permit the System, Resource Ordering and Status System (ROSS) application, which is owned and operated by the USDA Forest Service, to efficiently mobilize and track responders to and from an incident site. ROSS is a database of emergency response personnel that can be searched according to

pre-defined resource position types. Being able to quickly identify and dispatch appropriate personnel and supplies is a key component of emergency response, and ROSS facilitates that process. APHIS also uses ROSS to identify; track, and dispatch personnel resources that are needed to support emergency response, and it uses APHIS EQS to store the skills and qualifications of emergency response personnel.

**PATS** - The Personnel Action and Tracking System (PATS) was built in 1999 and is comprised of a suite of Lotus Domino databases. Only the Forms & Tracking databases have both a client and a web version. The web version allows customers to submit & track SF-52's via the internet. The PATS application is used throughout the MRP Mission Area by customers in APHIS, the Agricultural Marketing Service (AMS), the Grain Inspection Packers and Stockyards Administration (GIPSA) as well as customer in the Merit Systems Protection Board (MSPB) and any new customers HRD may take on.

## Section 1.0 Characterization of the Information

The following questions are intended to define the scope of the information requested and/or collected as well as reasons for its collection as part of the program, system, rule, or technology being developed.

### 1.1 What information is collected, used, disseminated, or maintained in the system?

#### Employee Qualification System (EQS)

APHIS EQS is populated with data from the National Finance Center (NFC) personnel system, USDA Agriculture Learning (AgLearn), WebTA, USA Jobs, ROSS, and potentially from the Federal Occupational Health (FOH) office; however, there is no direct connection between EQS and any applications outside of APHIS. The following paragraphs provide details on the sources of information-

#### National Finance Center Personnel Database

EQS personnel data is obtained from the NFC personnel database. A trusted APHIS employee who has been granted security access to the NFC database runs a FOCUS report on a bi-weekly basis. Data from the FOCUS report is pulled into an Excel spreadsheet, password protected, and stored on an APHIS-secured network drive.

#### Data Fields:

SSN, name, agency name, organizational code, duty city, duty state, duty station, grade, series, pay plan, official title, working title, appointment type, employment type, service computation date, and business code

## AgLearn

EQS training data is obtained from the USDA AgLearn database. A secure data-transfer program generates a weekly report, which is available at VS\CEAH\aim\aimy2k\emrs\aglearn on a weekly basis. The AgLearn data is saved into an importable spreadsheet and secured on the APHIS network drive: MDRDFS11\MRPBS-Marketing & Regulatory Business Services\EPS-Emergency Prepare Staff\ROSS and EQS\EQS Import Files. This folder on the APHIS network is secured and only available to the ROSS/EQS Program Manager, EQS Assistant, EP Branch Chief and EQS Developers.

### Data Fields:

AgLearn ID, item id, item name, and completion date.

## WebTA

EQS supervisor information for each employee is obtained from WebTA; the APHIS time and attendance application. The Branch Chief for the APHIS MRPBS Human Resources Leave and Compensation Branch produces a monthly Excel spreadsheet, which is imported into EQS.

### Data Fields:

Name, supervisor name, supervisor organizational code, and employee organizational code.

## USA Jobs

Non-APHIS Veterinary Medical Officers (VMO) and Animal Health Technicians (AHT) who are interested in becoming members of the National Animal Health Emergency Responder Corp (NAHERC) apply for consideration through USA Jobs. These non-APHIS personnel are qualified for VMO and AHT positions by the APHIS MRPBS Human Resources Staffing Branch. Once qualified, they are put on a NAHERC roster and are available for consideration to an Animal Health or All Hazard event if deemed needed. Information from this NAHERC roster is updated in EQS on a quarterly basis.

### Data Fields:

NAHERC applicant ID, city, state, zip code, official title, and e-mail address.

## Safety & Health (Medical Clearance & PPE Fit Test Results)

Responders may be required, due to the nature of their job or because of an incident assignment, to obtain a medical clearance or to be fit-tested for various PPE. This information will be maintained within EQS. Data can be imported into EQS via an Excel

spreadsheet or will be directly entered by either FOH or APHIS personnel with the appropriate EQS role.

Data Fields:

Medical Clearance Form: Name, clearance status, clearance type, clearance requested by, scheduled exam date, exam completed date, approval date, clearance expiration date, type of clearance approved, clearance approved by, and PPE restrictions.

PPE Fit Test Form:

Name, PPE status, type, size, model, special requirements, fit tester, fit test date, and expiration date.

**Training & Orientation Records**

Data Fields:

Name, course name/description, and completion date.

**AgHealth Certification Records**

Data Fields:

Name, certification status, AgHealth position name, certification type, date certified, and person certifying.

**Direct Entry**

Responders are asked to enter information critical for incident response, Continuity of Operations Planning (COOP) and emergency weather notification directly into EQS. APHIS responders will have access to EQS from within the APHIS network through their Lotus Notes login credentials or via a URL to the EQS Web interface. APHIS Responders can also access EQS from outside the APHIS network when protected by HTTPS and VPN technology. Access by APHIS responders from outside the APHIS network still requires authentication via Lotus Notes login credentials.

Data Fields:

*Responder Profile:*

Government travel card (Y/N), Driver's license (Y/N), Supervisor status (Y/N), and notification method.

*Skills:*

Existing skills, desired skills.

*Responder Contact Information:*

Home city, home state, home county, home country, home zip code, emergency contact name, emergency contact phone, emergency contact relationship, alternate emergency phone, work address, work city, work state, work zip, work phone, work county, work country, work latitude/longitude, work e-mail address, work government cell phone/pager/BlackBerry, TDY address, TDY city, TDY state, TDY zip, TDY phone, TDY county, TDY country, TDY latitude/longitude, TDY e-mail address, and TDY government cell phone/pager/BlackBerry.

**ROSS Data**

ROSS contains EQS responder information and is the primary mechanism for mobilizing these responders to incident sites. Cognos<sup>®</sup> reports are generated and the data is imported into EQS via Excel spreadsheets. Cognos report data is used to bring in incident experience for each APHIS responder, as well as to validate information between the two applications.

Data Fields:

ROSS Resource ID, name, dispatch code, dispatch name, jet port, resource status, home unit code, incident ID, incident name, incident number, incident type, AgHealth position name, AgHealth position code, overhead request number, resource qualification status, mobilization ETA, and demobilization ETA.

**EQS to ROSS Data Feeds**

On a monthly basis, APHIS responder data is extracted from the EQS application, formatted for the ROSS application, and stored on an APHIS secure network drive located at: MDRDFS11\MRPBS-Marketing & Regulatory Business Services\EPB-Emergency Prepare Staff, ROSS and EQS\EQS Import Files\From ROSS. This file share is available only to the APHIS MRPBS EMSSD EPB Staff. A trusted APHIS employee with the proper ROSS credentials accesses the ROSS applications and imports the .xml files. Data discrepancies are corrected according to established standard operating procedures.

Data Fields:

Name, ROSS ID, home unit code, dispatch code, jet port, work phone number, AgHealth position code(s), qualification type, e-mail address, and certification expiration date.

**EQS to EMRS Data Feeds**

Responder data can be moved to the APHIS Veterinary Services EMRS when needed for Animal Health incident response. Two EMRS programmers have been given access to EQS so that they can pull the data as needed (in a spreadsheet file).

Data Fields:

Form, delreq\_requestor, delreq\_date, delreq\_reason, name, title, working title, official title, grade, organization, organizational code, supervisor name, supervisor phone, supervisor e-mail, employee status, ROSS ID, employee ID number, AgLearn ID, nick name, dispatch, duty station, duty state, series, work phone, work pager, work e-mail address, date deactivated, data source, and universal ID.

**APHIS Employee Access**

Responders have access to view their data within the EQS application. They have access to enter and update their own emergency contact information, work address information, TDY address information, and to respond to incident related criteria (travel card, driver's license, skills, etc.). Responders needing a higher level of access will request that access through the EQS Program Manager (PM). Non-APHIS personnel who have records within EQS will not have access to their data. Data can be retrieved for them through PMs or one of the Dispatch Coordination Centers

**EQS to EPR (Emergency Preparedness and Response)**

The data from EQS is exported to the EPR via a utility called Export I. The export from EQS is a CSV text file which provides a summary of the location and a number of employees.

Data Fields - The CSV file includes a unique facility ID, street address, city, state, ZIP, and Lat/Long coordinates, and the number of employees.

**EQS to ENS (Emergency Notification System)**

This data transfer is currently in test mode.

Data Fields: Password, Agency, Airport Code, Airport Name, Duty City, Duty County, Duty State, First Name, Middle Initial, Last Name, Full Name, Official Title, Organization, Org Code, Program, Work Address 1, Work Address 2, Work City, Work State, Work County, Work Zip, Work County, Work Email, Work Phone, Work Phone Ext, Work Cell Phone, Work Fax, Home City, Home County, Home State, Home Zip, Home Country, Latitude, Longitude

**Personnel Action and Tracking System (PATS)**

The PATS application allows customers to submit & track SF-52's via the internet. Customers electronically complete a "Request for Personnel Action" (SF-52); submit the SF-52 to the Human Resources Division (HRD) and track the SF52 submission as it routes throughout the appropriate sections within HRD. Customers utilize both the Notes Web and Client versions to submit and track SF52's depending on their location, preference and program guidance.

All actions taken to create or update personnel records are done in formal systems of record (NFC Payroll Personnel System (PPS), Position Management System Organization (PMSO), Official Personnel Folder (eOPF), etc). PATS is also used to provide HRD with statistical data required for responses to Departmental or APHIS data calls as well as proving metrics for customers with Service Level Agreements (SLA) with APHIS.

### **SF52 Data Fields**

Action Requested, SF52 ID, Proposed Effective Date of Action, Contact Name, Contact Phone Number, Action Requested by Name, Action Requested by Title, Action Requested by Date, Action Authorized by Name, Action Authorized by Title, Action Authorized by Date, Employee Last Name, Employee Work Schedule, Employee Hours per Pay Period, eMail Notification, Submit to Personnel Office, SSN, Date of Birth (these fields are masked during transit, while stored and when printed), Employee First Name, Employee MI, Recruit Method, Recruit Weeks to Announce, Recruit Grade Level, Recruit Type of Appointment, Recruit # of Positions to Fill, Selecting Official Name, Selecting Official Phone Number, Certificate Mailing Address – City – State – Zip, Position Title, Master Record Number, IP Number, Pay Plan, Occupational Series Code, Grade Level, Agency Name, Organizational Levels 2-7, Organizational Structure Code, Duty Station Code, Duty State/Country, Duty State, Duty City, Full Performance Level, Remarks, Attachments.

## **1.2 What are the sources of the information in the system?**

There are multiple sources of data see details above in section 1.1

## **1.3 Why is the information being collected, used, disseminated, or maintained?**

EQS- APHIS is an emergency response organization whose mission is to protect the health and value of U.S. agricultural, natural and other resources.

Animal Health Protection Act (7 U.S.C. 8301 et seq.)

The Plant Protection Act (Title IV, Pub. L. 106-224, 114 stat. 438.7 U.S.C. 7701-7772)

The Department of Homeland Security (DHS) National Response Framework (NRF) identifies 15 Emergency Support Function (ESF) Annexes, each annex describing a subset of emergency response activities. The ESF #11 Annex encompasses activities related to Agriculture and Natural Resources. The ESF #11 Annex involves four Federal Agencies, including USDA APHIS, USDA Food and Nutrition Service (FNS), USDA Food Safety and Inspection Service (FSIS), and the Department of Interior (DOI). USDA and DOI are designated as the primary federal departments in the ESF #11 Annex and the USDA is designated as the lead department. HSO delegated the lead responsibility to APHIS. This

delegation gives APHIS the responsibility to coordinate and serve as the liaison between DHS/FEMA, USDA, DOI, and cooperating state and local entities for preparedness and response to an activation of ESF #11.

Also provided below is the SORN information for EQS  
APHIS-11 Emergency Management Response System  
FR Doc E8-9418[Federal Register: April 30, 2008 (Volume 73, Number 84)]  
DEPARTMENT OF AGRICULTURE  
Office of the Secretary  
[Docket No. APHIS-2008-0039]

SORN for PATS  
Personnel and Payroll System for USDA Employees, USDA/OP-1.  
Office of Personnel, USDA, Washington, DC.; the National Finance  
Center, New Orleans, Louisiana and other Regional Offices.

#### **1.4 How is the information collected?**

For EQS the information is collected manually through spreadsheets and data transfers on a periodic basis from the various systems listed above in 1.1, there are no system interconnections.

PATS information is submitted through SF-52 forms submitted by HR personnel collected from the field offices. There are no system interconnections.

#### **1.5 How will the information be checked for accuracy?**

Data for APHIS responders is imported into EQS from official systems of record on a regularly scheduled basis (NFC, WebTA and AgLearn). Database administrators and those holding higher level of roles within the application are responsible for performing routine checks. Any data changes that are required are done in official systems of record, not in EQS. APHIS responders are allowed view/read access to their EQS record. Any discrepancies will be reported to the EQS Program Manager or Assistant. All responders are asked to provide emergency contact information. Authorized APHIS HR personnel who collect the data are responsible for the review and accuracy of the data.

#### **1.6 What specific legal authorities, arrangements, and/or agreements defined the collection of information?**

See details on legal authorities and SORN information provided in section 1.3

**1.7 Privacy Impact Analysis: Given the amount and type of data collected, discuss the privacy risks identified and how they were mitigated.**

**EQS-** Data is secured within EQS through the use of user roles. Responders will have access to view only their own data. If responders find discrepancies with their data, they will report that to the EQS program manager. EQS maintains a robust audit-tracking tool, which identifies any field that was changed, when and by whom.

**PATS-** Access to PATS data is limited to authorized users through the use of roles. HR personnel can only view information that they have input into the system. All HRD comply with yearly security awareness training, HRD staff are experienced and long standing employees, PII data is masked upon submission, transit, storage, reporting and printing of documents, Access control lists are monitored and maintained by HRD, customer access requires obtaining an ID and Password from the information technology division.

## **Section 2.0 Uses of the Information**

The following questions are intended to delineate clearly the use of information and the accuracy of the data being used.

**2.1 Describe all the uses of information.**

**EQS-** Information is used for emergency preparedness, planning and incident response; including the allocation of resources based on various skill sets. Development of response programs to be used for incident response.

**PATS-** PATS purpose is to alert HRD personnel that an action has been submitted and to track the request as it moves throughout HRD. PATS is also used to provide HRD with statistical data required for responses to Departmental or APHIS data calls as well as proving metrics for customers with Service Level Agreements (SLA) with APHIS.

**2.2 What types of tools are used to analyze data and what type of data may be produced?**

*N/A – no special tools in use*

**2.3 If the system uses commercial or publicly available data please explain why and how it is used.**

N/A

**2.4 Privacy Impact Analysis: Describe any types of controls that may be in place to ensure that information is handled in accordance with the above described uses.**

Role based access to authorized users of the system who use Lotus Notes authentication to access the applications.

## Section 3.0 Retention

The following questions are intended to outline how long information will be retained after the initial collection.

**3.1 How long is information retained?**

PATS – All data is being retained indefinitely

EQS - All data is being retained indefinitely

**3.2 Has the retention period been approved by the component records officer and the National Archives and Records Administration (NARA)?**

No, this is currently in process for both applications.

**3.3 Privacy Impact Analysis: Please discuss the risks associated with the length of time data is retained and how those risks are mitigated.**

Although archived data is secured and access is provided to authorized personnel only, the applications need to work with NARA and determine retention policy and procedures to limit PII data exposure risks.

## Section 4.0 Internal Sharing and Disclosure

The following questions are intended to define the scope of sharing within the United States Department of Agriculture.

**4.1 With which internal organization(s) is the information shared, what information is shared and for what purpose?**

EQS data is shared with EPR Viewer, ENS, ROSS, and EMRS to manage emergency response.

PATS data is shared with NFC applications. PATS is also used to provide HRD with statistical data required for responses to Departmental or APHIS data calls as well as proving metrics for customers with Service Level Agreements (SLA) with APHIS.

#### **4.2 How is the information transmitted or disclosed?**

EQS shares data with the following systems-

ROSS – Data transfer to ROSS takes place through Cognos® reports, which are generated and the data is imported into EQS via Excel spreadsheets.

EMRS – Two programmers have access to the application to generate reports

ENS – Data is shared via spread sheet

EPR - The export from EQS is a CSV text file which provides a summary of the location and a number of employees.

PATS – Data is entered manually into NFC systems by HR personnel

#### **4.3 Privacy Impact Analysis: Considering the extent of internal information sharing, discuss the privacy risks associated with the sharing and how they were mitigated.**

Due to the fact the EQS data is shared and is accessed more often and by more people and systems, there are more opportunities for the confidentiality of the PII to be compromised. This risk is mitigated by the existing controls in place to limit access of the system to authorized personnel only and by masking PII fields such as SSN.

PATS – Access to the data is limited to only authorized HR Operations personnel, SF-52 id is used to run queries, SSN is masked.

### **Section 5.0 External Sharing and Disclosure**

The following questions are intended to define the content, scope, and authority for information sharing external to USDA which includes Federal, state and local government, and the private sector.

#### **5.1 With which external organization(s) is the information shared, what information is shared, and for what purpose?**

No data is shared outside of the USDA

#### **5.2 Is the sharing of personally identifiable information outside the Department compatible with the original collection? If so, is it covered by an appropriate routine use in a SORN? If so, please**

describe. If not, please describe under what legal mechanism the program or system is allowed to share the personally identifiable information outside of USDA.

*N/A*

**5.3 How is the information shared outside the Department and what security measures safeguard its transmission?**

*N/A*

**5.4 Privacy Impact Analysis: Given the external sharing, explain the privacy risks identified and describe how they were mitigated.**

*N/A*

## Section 6.0 Notice

The following questions are directed at notice to the individual of the scope of information collected, the right to consent to uses of said information, and the right to decline to provide information.

**6.1 Was notice provided to the individual prior to collection of information?**

PATS – SF-52 forms have a privacy notice attached. SF 52s are filled out as part of an employee promotion process.

EQS – Data for APHIS responders is imported into EQS from official systems of record on a regularly scheduled basis (NFC, WebTA and AgLearn). Database administrators and those holding higher level of roles within the application are responsible for performing routine checks. Any data changes that are required are done in official systems of record, not in EQS. APHIS responders are allowed view/read access to their EQS record. Any discrepancies will be reported to the EQS Program Manager or Assistant. All responders are asked to provide emergency contact information. As part of the new employee orientation process all employees are informed about the data collection for EQS. All employees are required to provide emergency contact information.

**6.2 Do individuals have the opportunity and/or right to decline to provide information?**

PATS – Yes, SF-52 forms have a privacy notice attached. SF 52s are filled out as part of an employee promotion process.

EQS - Data for APHIS responders is imported into EQS from official systems of record on a regularly scheduled basis (NFC, WebTA and AgLearn). APHIS responder will be allowed view/read access to their EQS record.

No, all APHIS employees are required to provide and or update their data within EQS, employees do not have a right to decline to provide this information.

**6.3 Do individuals have the right to consent to particular uses of the information? If so, how does the individual exercise the right?**

PATS – SF-52 forms have a privacy notice attached.

EQS – Data for APHIS responders is imported into EQS from official systems of record on a regularly scheduled basis (NFC, WebTA and AgLearn). APHIS responders are allowed view/read access to their EQS record. Any discrepancies will be reported to the EQS Program Manager or Assistant. All responders are asked to provide emergency contact information.

No, all APHIS employees are required to provide and or update their data within EQS, employees do not have the right to consent to particular uses of the information.

**6.4 Privacy Impact Analysis: Describe how notice is provided to individuals, and how the risks associated with individuals being unaware of the collection are mitigated.**

PATS – SF-52 forms have a privacy notice attached.

EQS – Data for APHIS responders is imported into EQS from official systems of record on a regularly scheduled basis (NFC, WebTA and AgLearn). APHIS responders are allowed view/read access to their EQS record. Any discrepancies will be reported to the EQS Program Manager or Assistant. All responders are asked to provide emergency contact information.

## **Section 7.0 Access, Redress and Correction**

The following questions are directed at an individual's ability to ensure the accuracy of the information collected about them.

**7.1 What are the procedures that allow individuals to gain access to their information?**

EQS users can Login to the system to update data and/or inform the EQS program manager regarding any changes to the information.

PATS- Individuals would need to contact the HR Department to update information

## **7.2 What are the procedures for correcting inaccurate or erroneous information?**

EQS – Data for APHIS responders is imported into EQS from official systems of record on a regularly scheduled basis (NFC, WebTA and AgLearn). Database administrators and those holding higher level of roles within the application are responsible for performing routine checks. Any data changes that are required are done in official systems of record, not in EQS. After the certification and accreditation process is completed, each APHIS responder will be allowed view/read access to their EQS record. Any discrepancies will be reported to the EQS Program Manager or Assistant. All responders are asked to provide emergency contact information.

PATS- Individuals would need to contact the HR Department to update information

## **7.3 How are individuals notified of the procedures for correcting their information?**

EQS - Each APHIS responder will be allowed view/read/update access to their EQS record. Any discrepancies will be reported to the EQS Program Manager or Assistant. All responders are asked to provide emergency contact information. If there are any discrepancies with the NFC data import, a responder can contact the PM to who will escalate the issue to responsible parties within NFC to ensure corrections are made.

PATS- Individuals would need to contact the HR Department to update information

## **7.4 If no formal redress is provided, what alternatives are available to the individual?**

*N/A*

## **7.5 Privacy Impact Analysis: Please discuss the privacy risks associated with the redress available to individuals and how those risks are mitigated.**

EQS- Any discrepancies will be reported to the EQS Program Manager or Assistant. All responders are asked to provide emergency contact information.

PATS- Individuals would need to contact the HR Department to update information

## Section 8.0 Technical Access and Security

The following questions are intended to describe technical safeguards and security measures.

### 8.1 What procedures are in place to determine which users may access the system and are they documented?

The least privilege concept is enforced through application assigned user roles defined in the System Security Plan for the Domino application.

### 8.2 Will Department contractors have access to the system?

Yes, all APHIS employees and contractors who have Lotus Notes ID and client installed can potentially have access to the applications.

### 8.3 Describe what privacy training is provided to users either generally or specifically relevant to the program or system?

APHIS Marketing and Regulatory Programs Business Services (MRPBS), under the Information Systems Security Manager (ISSM) staff administers and tracks APHIS Security & Privacy training. Training is required annually and the records are maintained as part of office documentation for employees and contractors.

There is no application specific privacy training provided for PATS or EQS applications.

### 8.4 Has Certification & Accreditation been completed for the system or systems supporting the program?

EQS – Has been accredited before as a separate system, the system boundary has been changed with the Lotus Domino Server being moved to NITC. The Lotus Domino Server including EQS and PATS is currently going through the A&A process as a single application.

### 8.5 What auditing measures and technical safeguards are in place to prevent misuse of data?

EQS - The EQS application records the user account and timestamp of record creation and record modification events which are maintained as part of the database records.

PATS - The application masks PII where possible, access to all data is limited to authorized HR operations individuals only. Once an SF52 has been submitted only HRD can make changes, data is backed up nightly, the application can roll back, there

are established SOP's regarding required signatures/approval processes to prevent misuse of data.

**8.6 Privacy Impact Analysis: Given the sensitivity and scope of the information collected, as well as any information sharing conducted on the system, what privacy risks were identified and how do the security controls mitigate them?**

Based on the sensitivity of the data that is collected and shared by both applications, the privacy risks are reduced by implementing a NIST 800-53 Moderate baseline of controls. Any controls that are not implemented will be tracked on the POA&M as the application goes through the Assessment and Authorization.

## **Section 9.0 Technology**

The following questions are directed at critically analyzing the selection process for any technologies utilized by the system, including system hardware and other technology.

**9.1 What type of project is the program or system?**

The EQS and PATS are Lotus Domino Applications, residing on a Virtual server at NITC.

**9.2 Does the project employ technology which may raise privacy concerns? If so please discuss their implementation.**

The system does not utilize any technologies that would raise the Privacy Risk.

## **Section 10.0 Third Party Websites/Applications**

The following questions are directed at critically analyzing the privacy impact of using third party websites and/or applications.

**10.1 Has the System Owner (SO) and/or Information Systems Security Program Manager (ISSPM) reviewed Office of Management and Budget (OMB) memorandums M-10-22 “Guidance for Online Use of Web Measurement and Customization Technology” and M-10-23 “Guidance for Agency Use of Third-Party Websites and Applications”?**

N/A

**10.2 What is the specific purpose of the agency's use of 3<sup>rd</sup> party websites and/or applications?**

*N/A*

**10.3 What personally identifiable information (PII) will become available through the agency's use of 3<sup>rd</sup> party websites and/or applications.**

*N/A*

**10.4 How will the PII that becomes available through the agency's use of 3<sup>rd</sup> party websites and/or applications be used?**

*N/A*

**10.5 How will the PII that becomes available through the agency's use of 3<sup>rd</sup> party websites and/or applications be maintained and secured?**

*N/A*

**10.6 Is the PII that becomes available through the agency's use of 3<sup>rd</sup> party websites and/or applications purged periodically?**

*N/A*

**10.7 Who will have access to PII that becomes available through the agency's use of 3<sup>rd</sup> party websites and/or applications?**

*N/A*

**10.8 With whom will the PII that becomes available through the agency's use of 3<sup>rd</sup> party websites and/or applications be shared - either internally or externally?**

*N/A*

**10.9 Will the activities involving the PII that becomes available through the agency's use of 3<sup>rd</sup> party websites and/or applications require either the creation or modification of a system of records notice (SORN)?**

*N/A*

**10.10 Does the system use web measurement and customization technology?**

*No*

**10.11 Does the system allow users to either decline to opt-in or decide to opt-out of all uses of web measurement and customization technology?**

*N/A*

**10.12 Privacy Impact Analysis: Given the amount and type of PII that becomes available through the agency’s use of 3<sup>rd</sup> party websites and/or applications, discuss the privacy risks identified and how they were mitigated.**

*N/A*

## Responsible Officials

<b>Name of Component:</b>	<i>USDA, APHIS, MRPBS, EMSSD</i>
<b>Name of Project Manager EQS:</b>	<i>Regan Thomas Phone: 970-494-7055 Email: Regan.M.Thomas@aphis.usda.gov</i>
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