

U.S. Department of Commerce
National Oceanic & Atmospheric Administration



**Privacy Impact Assessment
for the
NOAA8202
Office of Water Prediction (OWP)**

Reviewed by: Mark Graff Bureau Chief Privacy Officer

- Concurrence of Senior Agency Official for Privacy/DOC Chief Privacy Officer
- Non-concurrence of Senior Agency Official for Privacy/DOC Chief Privacy Officer

Signature of Senior Agency Official for Privacy/DOC Chief Privacy Officer

Date

U.S. Department of Commerce Privacy Impact Assessment

NOAA/NWS/Office of Water Prediction (OWP)

Unique Project Identifier: NOAA8202

Introduction: System Description

The Office of Water Prediction (NOAA8202), is comprised of hydrologic capabilities that include a production and operations capability, a research and development capability, and a capability that houses general administrative functions. The production and operations capability consists of products and services from modeling programs and data acquisition, processing, and dissemination programs. There is logical separation between the production and operations capability and other non-production capabilities. The research and development capability consists of applications for field offices that involve applied research and software engineering in support of applications within the NWS. The business administration capability includes office functions such as procurement, property, time and attendance, and other functions needed to carry on the daily business of an office.

Address the following elements:

(a) Whether it is a general support system, major application, or other type of system

NOAA8202, is a general support system

(b) System location

- 1) Silver Spring, MD
- 2) Chanhassen, MN
- 3) Hanover, NH (Chanhassen Web Alternate Site)
- 4) Tuscaloosa, AL

(c) Whether it is a standalone system or interconnects with other systems (identifying and describing any other systems to which it interconnects)

Cold Regions Research Engineering Laboratory (CRREL) – Army Corps of Engineers
Level3 Networx – Level 3

NOAA0550 - NOAA NWave WAN

NOAA8860 - Weather and Climate Computing Infrastructure Services (WCCIS)
NWS One NWSnet

(d) The way the system operates to achieve the purpose(s) identified in Section 4

NOAA8202 OWP operates in the traditional client server model. Data is hosted on servers and made available via various protocols such as HTTPS, FTP, SFTP and SSH.

(e) How information in the system is retrieved by the user

An individual may access information or products from our websites; <https://www.nohrsc.noaa.gov> and <https://hdsc.nws.noaa.gov/hdsc/pfds/>. These websites contain weather-related data (rainfall/snowfall amounts, temperatures, etc.).

(f) How information is transmitted to and from the system

Secure web-based protocol (HTTPS) is used within <https://noaa.samanage.com> to collect employee information for creating user accounts. This data is not saved within NOAA8202. HTTPS is used because it is a secure protocol allowing the protection of the data being transmitted. System administrators, user who input the data, and member's manager are the only ones with permissions to these Samanage tickets and information involved.

(g) Any information sharing

The NWS collects and maintains PII for the following administrative purposes:

For emergency notifications: name, email, address, home telephone number, home email address, and spouse's cell phone number.

For establishing IT system user accounts: name, office, government phone number, address and email address.

Surveillance cameras at entry points are for additional security and images are stored on a server in our system. Such images could be used for criminal law enforcement, if applicable.

Images captured could be federal employees, contractors, or the public. Card readers installed and maintained at the Tuscaloosa location by the University of Alabama, through a service level agreement between OWP and the university. The only information obtained by the card readers is badge number and name.

(h) The specific programmatic authorities (statutes or Executive Orders) for collecting, maintaining, using, and disseminating the information

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

5 U.S.C. 5379, 7531-332

15 U.S.C. 1501, et seq.

28 U.S.C. 533-535

35 U.S.C. 2

41 U.S.C. 433(d)

44 U.S.C. 3101

the Electronic Signatures in Global and National Commerce Act, Public Law 106-229

Homeland Security Presidential Directive 12

IRS Publication-1075

Federal Preparedness Circular (FPC) 65, July 26, 1999.

Public Law 100-71, dated July 11, 1987

Equal Employment Act of 1972

Executive Orders 10450, 11478, 12065, 12107, 12564, 12656, 13164

5 CFR Part 537

DAO 202-957; DAO 210-110.

(i) The Federal Information Processing Standards (FIPS) 199 security impact category for the system

Moderate

Section 1: Status of the Information System

1.1 Indicate whether the information system is a new or existing system.

This is a new information system.

This is an existing information system with changes that create new privacy risks.
(Check all that apply.)

Changes That Create New Privacy Risks (CTCNPR)				
a. Conversions		d. Significant Merging		g. New Interagency Uses
b. Anonymous to Non- Anonymous		e. New Public Access		h. Internal Flow or Collection
c. Significant System Management Changes		f. Commercial Sources		i. Alteration in Character of Data
j. Other changes that create new privacy risks (specify):				

This is an existing information system in which changes do not create new privacy risks, and there is not a SAOP approved Privacy Impact Assessment.

This is an existing information system in which changes do not create new privacy risks, and there is a SAOP approved Privacy Impact Assessment.

Section 2: Information in the System

2.1 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*		f. Driver's License		j. Financial Account
b. Taxpayer ID		g. Passport		k. Financial Transaction
c. Employer ID		h. Alien Registration		l. Vehicle Identifier
d. Employee ID		i. Credit Card		m. Medical Record
e. File/Case ID				
n. Other identifying numbers (specify):				
*Explanation for the business need to collect, maintain, or disseminate the Social Security number, including truncated form:				

General Personal Data (GPD)				
a. Name	X	h. Date of Birth		o. Financial Information
b. Maiden Name		i. Place of Birth		p. Medical Information
c. Alias		j. Home Address	X	q. Military Service
d. Gender		k. Telephone Number	X	r. Criminal Record
e. Age		l. Email Address	X	s. Marital Status

f. Race/Ethnicity		m. Education		t. Mother's Maiden Name	
g. Citizenship		n. Religion			
u. Other general personal data (specify): Spouse's cell phone number					

Work-Related Data (WRD)					
a. Occupation		e. Work Email Address	X	i. Business Associates	
b. Job Title	X	f. Salary		j. Proprietary or Business Information	
c. Work Address	X	g. Work History		k. Procurement/contracting records	X
d. Work Telephone Number	X	h. Employment Performance Ratings or other Performance Information			
l. Other work-related data (specify): Employee badge information (at card reader)					

Distinguishing Features/Biometrics (DFB)					
a. Fingerprints		f. Scars, Marks, Tattoos		k. Signatures	
b. Palm Prints		g. Hair Color		l. Vascular Scans	
c. Voice/Audio Recording		h. Eye Color		m. DNA Sample or Profile	
d. Video Recording		i. Height		n. Retina/Iris Scans	
e. Photographs	X	j. Weight		o. Dental Profile	
p. Other distinguishing features/biometrics (specify): Photographs may be extracted by surveillance video if requested by law enforcement.					

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

Other Information (specify)					
The GPD information collected is on Google Drive, and although not part of the NOAA8202 boundary, the information could be downloaded to individual computers within OWP.					

2.2 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		Email	X		
Other (specify):					

Government Sources					
Within the Bureau		Other DOC Bureaus		Other Federal Agencies	
State, Local, Tribal		Foreign			

Other (specify):

Non-government Sources

Public Organizations	<input checked="" type="checkbox"/>	Private Sector		Commercial Data Brokers	
Third Party Website or Application					
Other (specify):	University of Alabama				

2.3 Describe how the accuracy of the information in the system is ensured.

Users verify emergency contact information yearly or if changes should occur. Forms for cards are verified and/or completed by the user.
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2.4 Is the information covered by the Paperwork Reduction Act?

	Yes, the information is covered by the Paperwork Reduction Act. Provide the OMB control number and the agency number for the collection.
X	No, the information is not covered by the Paperwork Reduction Act.

2.5 Indicate the technologies used that contain PII/BII in ways that have not been previously deployed. (Check all that apply.)

Technologies Used Containing PII/BII Not Previously Deployed (TUCPBNPD)		
Smart Cards		Biometrics
Caller-ID		Personal Identity Verification (PIV) Cards
Other (specify):		

X	There are not any technologies used that contain PII/BII in ways that have not been previously deployed.
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Section 3: System Supported Activities
3.1 Indicate IT system supported activities which raise privacy risks/concerns. (Check all that apply.)

Activities			
Audio recordings		Building entry readers	<input checked="" type="checkbox"/>
Video surveillance	X	Electronic purchase transactions	

Other (specify):	
	There are not any IT system supported activities which raise privacy risks/concerns.

Section 4: Purpose of the System

4.1 Indicate why the PII/BII in the IT system is being collected, maintained, or disseminated.
(Check all that apply.)

Purpose			
For a Computer Matching Program		For administering human resources programs	
For administrative matters	X	To promote information sharing initiatives	
For litigation		For criminal law enforcement activities	X
For civil enforcement activities		For intelligence activities	
To improve Federal services online	X	For employee or customer satisfaction	
For web measurement and customization technologies (single-session)		For web measurement and customization technologies (multi-session)	
Other (specify): To increase security at the National Water Center building in Tuscaloosa, AL.			

Section 5: Use of the Information

5.1 In the context of functional areas (business processes, missions, operations, etc.) supported by the IT system, describe how the PII/BII that is collected, maintained, or disseminated will be used. Indicate if the PII/BII identified in Section 2.1 of this document is in reference to a federal employee/contractor, member of the public, foreign national, visitor or other (specify).

For emergency notifications: name, email address, home telephone number, home email address, and spouse's cell phone number. (federal employees)
For establishing IT system user accounts: name, office, government phone number, address and email address. (federal employees and contractors)
Surveillance cameras at entry points are for additional security and images are stored on a server in our system. Images may be used for criminal law enforcement, if warranted. Images could be of federal employees, contractors, or the public.
Card readers are installed and maintained at the Tuscaloosa location by the University of Alabama. The information obtained by the card readers is badge number and name (federal employees and contractors).
An individual may access information or products from our websites: https://www.nohrsc.noaa.gov/ and https://hdsc.nws.noaa.gov/hdsc/pfds/ . These websites contain weather-related data (rainfall/snowfall amounts, temperature, etc.).

5.2 Describe any potential threats to privacy, such as insider threat, as a result of the bureau's/operating unit's use of the information, and controls that the bureau/operating unit has put into place to ensure that the information is handled, retained, and disposed appropriately. (For example: mandatory training for system users regarding appropriate handling of information, automatic purging of information in accordance with the retention schedule, etc.)

Any potential threats to privacy lie within the organization. Mandatory NOAA Cyber training is provided to all end users of NOAA8202's systems regarding the proper handling of sensitive information. This information is retained in accordance with the retention schedule. There is also the possibility of insider threat. However users are required to take IT security & privacy training annually in order to minimize such risks.

Section 6: Information Sharing and Access

6.1 Indicate with whom the bureau intends to share the PII/BII in the IT system and how the PII/BII will be shared. (*Check all that apply.*)

Recipient	How Information will be Shared		
	Case-by-Case	Bulk Transfer	Direct Access
Within the bureau			
DOC bureaus			
Federal agencies	X*		
State, local, tribal gov't agencies			
Public	X**		
Private sector			
Foreign governments			
Foreign entities			
Other (specify):			

* Law enforcement if applicable, from surveillance camera images (DOJ) (administrative support)

** University of Alabama

The PII/BII in the system will not be shared.

6.2 Does the DOC bureau/operating unit place a limitation on re-dissemination of PII/BII shared with external agencies/entities?

	Yes, the external agency/entity is required to verify with the DOC bureau/operating unit before re-dissemination of PII/BII.
X*	No, the external agency/entity is not required to verify with the DOC bureau/operating unit before re-dissemination of PII/BII.
	No, the bureau/operating unit does not share PII/BII with external agencies/entities.

*surveillance images may be shared with the University of Alabama and external law enforcement agencies for security purposes.

6.3 Indicate whether the IT system connects with or receives information from any other IT systems authorized to process PII and/or BII.

	Yes, this IT system connects with or receives information from another IT system(s) authorized to process PII and/or BII. Provide the name of the IT system and describe the technical controls which prevent PII/BII leakage:
X	No, this IT system does not connect with or receive information from another IT system(s) authorized to process PII and/or BII.

6.4 Identify the class of users who will have access to the IT system and the PII/BII. *(Check all that apply.)*

Class of Users			
General Public		Government Employees	X
Contractors	X		
Other (specify): Academia and other federal, state, and local emergency managers			

Section 7: Notice and Consent

7.1 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 9.	
X	Yes, notice is provided by a Privacy Act statement and/or privacy policy. The Privacy Act statement and/or privacy policy can be found at: Policy: https://www.weather.gov/privacy	
X	Yes, notice is provided by other means.	Specify how: Employees provide information through their supervisor for account setup. Emergency contact information provided by the employee. Employees provide info on application for University of

		Alabama PIC card. Employees are instructed access to Tuscaloosa location by PIC or CAC only. Multiple signs around the Tuscaloosa building state, "NOTICE. Monitored by video camera".
	No, notice is not provided.	Specify why not:

7.2 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: New employees informed in writing by their supervisor or contract lead that they may decline, in writing, to provide the PII, but in doing so may affect their employment status. For emergency contact information, employees may decline to provide spouse's PII, but must provide some kind of contact information. Individuals may decline to have their video graphic image captured by deciding not to enter the surveillance area.
	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not:

7.3 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: Employees have the opportunity to consent to particular uses of this PII/BII. Supervisors explain the information is only used for the account setup in order to accomplish unit mission. Employees have the opportunity to consent to particular uses of their emergency contact information. Providing this information is strictly voluntary. Employees consent to the use of their PII for a PIV card by signing a written consent form and receiving a PIV card. Individuals consent to their PII being captured on video surveillance by continuing to access the surveillance area.
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	No, individuals do not have an opportunity to consent to particular uses of their PII/BII.	Specify why not:
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7.4 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: Annual request to update each individual's contact information sent out to all employees.
X	No, individuals do not have an opportunity to review/update PII/BII pertaining to them.	Specify why not: Video surveillance cannot be altered.

Section 8: Administrative and Technological Controls

8.1 Indicate the administrative and technological controls for the system. (*Check all that apply.*)

	All users signed a confidentiality agreement or non-disclosure agreement.
X	All users are subject to a Code of Conduct that includes the requirement for confidentiality.
X	Staff (employees and contractors) received training on privacy and confidentiality policies and practices.
X	Access to the PII/BII is restricted to authorized personnel only.
X	Access to the PII/BII is being monitored, tracked, or recorded. Explanation: Only system administrators maintain employee user accounts. Only authorized University of Alabama Security Office employees maintain the database of PIV cardholders for access only, and only surveillance monitoring.
X	The information is secured in accordance with the Federal Information Security Modernization Act (FISMA) requirements. Provide date of most recent Assessment and Authorization (A&A): <u>8/18/2021</u> <input type="checkbox"/> This is a new system. The A&A date will be provided when the A&A package is approved.
X	The Federal Information Processing Standard (FIPS) 199 security impact category for this system is moderate or higher.
X	NIST Special Publication (SP) 800-122 and NIST SP 800-53 Revision 4 Appendix J recommended security controls for protecting PII/BII are in place and functioning as intended; or have an approved Plan of Action and Milestones (POA&M).
X	A security assessment report has been reviewed for the information system and it has been determined that there are no additional privacy risks.
X	Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy. Contracts with customers establish DOC ownership rights over data including PII/BII.
	Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers.
	Other (specify):

8.2 Provide a general description of the technologies used to protect PII/BII on the IT system.

(Include data encryption in transit and/or at rest, if applicable).

The system administrators maintain employee user accounts. Password strings are encrypted and the files readable by user root only.

The University of Alabama maintains the database of names and badge numbers. Only Campus Security Office employees given permission can monitor the database.

The card readers are for access only. NWS employees at the National Water Center, Tuscaloosa, AL, only monitor the surveillance cameras.

Section 9: Privacy Act

9.1 Is the PII/BII searchable by a personal identifier (e.g., name or Social Security number)?

Yes, the PII/BII is searchable by a personal identifier.

No, the PII/BII is not searchable by a personal identifier.

9.2 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 (SORN). Provide the SORN name, number, and link. <i>(list all that apply):</i> COMMERCE/DEPARTMENT-18 Employees Information not covered by notices of other agencies; COMMERCE/DEPARTMENT-25 , Access Control and Identity Management System. COMMERCE/DEPARTMENT-13 , Investigative & Security Records
	Yes, a SORN has been submitted to the Department for approval on <u>(date)</u> .
	No, this system is not a system of records and a SORN is not applicable.

Section 10: Retention of Information

10.1 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: NOAA Records Schedule Chapter 100-24, Information Technology Operations and Management Records Chapter 1301-20, Customer Inquiries
	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:

10.2 Indicate the disposal method of the PII/BII. (*Check all that apply.*)

Disposal			
Shredding	X	Overwriting	X
Degaussing		Deleting	X
Other (specify):			

Section 11: NIST Special Publication 800-122 PII Confidentiality Impact Level

11.1 Indicate the potential impact that could result to the subject individuals and/or the organization if PII were inappropriately accessed, used, or disclosed. (*The PII Confidentiality Impact Level is not the same, and does not have to be the same, as the Federal Information Processing Standards (FIPS) 199 security impact category.*)

	Low – the loss of confidentiality, integrity, or availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
X	Moderate – the loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.
	High – the loss of confidentiality, integrity, or availability could be expected to have a severe or catastrophic adverse effect on organizational operations, organizational assets, or individuals.

11.2 Indicate which factors were used to determine the above PII confidentiality impact level. (*Check all that apply.*)

X	Identifiability	Provide explanation: It would not be easy to identify individuals from the PII available, unless images extracted from the surveillance cameras.
X	Quantity of PII	Provide explanation: There is little PII other than images that could be extracted from the surveillance cameras.
X	Data Field Sensitivity	Provide explanation: There are no sensitive data fields.
X	Context of Use	Provide explanation:

		<p>To create accounts for employees, we need their name, office phone and location in the building.</p> <p>The University of Alabama maintains the database of employee and contractor names and badge numbers. The database is located at the University of Alabama, Campus Security Office. Only Campus Security Office employees given permission can monitor the database. The card readers are for access only, NWS employees at the National Water Center, Tuscaloosa, AL only monitor the surveillance cameras.</p>
	Obligation to Protect Confidentiality	Provide explanation:
X	Access to and Location of PII	Provide explanation: Only system administrators have access to system information.
	Other:	Provide explanation:

Section 12: Analysis

12.1 Identify and evaluate any potential threats to privacy that exist in light of the information collected or the sources from which the information is collected. Also, describe the choices that the bureau/operating unit made with regard to the type or quantity of information collected and the sources providing the information in order to prevent or mitigate threats to privacy. (For example: If a decision was made to collect less data, include a discussion of this decision; if it is necessary to obtain information from sources other than the individual, explain why.)

Any potential threats to privacy lie within the organization. Originally, each manager maintained the emergency list for his or her staff. Now, senior management has decided a spreadsheet on Google Drive would be more advantageous since each user can update as needed. Now, all staff have rights to see everyone's personal information. This includes all staff, federal and contractor.

Emergency contact data (1) will not include sensitive PII, and (2) is outside of the accreditation boundaries of NOAA8202, but rather would fall within NOAA1200.

12.2 Indicate whether the conduct of this PIA results in any required business process changes.

	Yes, the conduct of this PIA results in required business process changes. Explanation:
X	No, the conduct of this PIA does not result in any required business process changes.

12.3 Indicate whether the conduct of this PIA results in any required technology changes.

	Yes, the conduct of this PIA results in required technology changes. Explanation:
X	No, the conduct of this PIA does not result in any required technology changes.

Points of Contact and Signatures

<p>Information System Security Officer or System Owner</p> <p>Name: William Mallette Office: NWS OWP Phone: 205-347-1318 Email: William.Mallette@NOAA.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>Signature: _____</p> <p>Date signed: _____</p>	<p>Information Technology Security Officer</p> <p>Name: Andrew Browne Office: NWS OCIO Phone: 301-427-9033 Email: andrew.browne@noaa.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>Signature: _____</p> <p>Date signed: _____</p>
<p>Privacy Act Officer</p> <p>Name: Adrienne Thomas Office: NOAA OCIO Phone: 240-577-2372 Email: Adrienne.Thomas@noaa.gov</p> <p>I certify that the appropriate authorities and SORNs (if applicable) are cited in this PIA.</p> <p>Signature: _____</p> <p>Date signed: _____</p>	<p>Authorizing Official</p> <p>Name: Thomas Graziano Office: NWS OWP Director Phone: 301-427-6904 Email: thomas.graziano@noaa.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>Signature: _____</p> <p>Date signed: _____</p>
<p>Bureau Chief Privacy Officer</p> <p>Name: Mark Graff Office: NOAA OCIO Phone: 301-628-5658 Email: Mark.Graff@noaa.gov</p> <p>I certify that the PII/BII processed in this IT system is necessary and this PIA ensures compliance with DOC policy to protect privacy.</p> <p>Signature: _____</p> <p>Date signed: _____</p>	<p>Authorizing Official</p> <p>Name: Beckie Koonge Office: NWS CISO Phone: 301-427-9020 Email: beckie.koonge@noaa.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>Signature: _____</p> <p>Date signed: _____</p>

This page is for internal routing purposes and documentation of approvals. Upon final approval, this page must be removed prior to publication of the PIA.