

SMALL BUSINESS ADMINISTRATION
PRIVACY IMPACT ASSESSMENT

Name of Project: iComplaints EEO Management System
Program Office: EEO&CRC
Project's Unique ID:

A. CONTACT INFORMATION:

1. Who is the person completing this document?

Gaye Walker, EEO Specialist, EEO&CRC Office, (202) 205-6753

2. Who is the system owner?

Delorice P. Ford, Acting AA, EEO&CRC Office, (202) 205-7340

3. Who is the system manager for this system or application?

Sandra L. Winston, Director EEO, EEO&CRC Office, (202) 205-7156

4. Who is the IT Security Manager who reviewed this document?

David McCauley, Chief Information Security Officer, OCIO, (202) 205-7103

5. Did the Agency's Senior Office for Privacy review this document?

Ethel M. Matthews, OCIO, (202) 205-7173

6. Who is the Reviewing Official?

Christine Liu, Chief Information Officer/Chief Privacy Officer OCIO,
(202) 205-6708

B. SYSTEM APPLICATION/GENERAL INFORMATION:

1. Does this system contain any information about individuals?

Yes. The information collected will include, but not limited to the individual's name, address, phone numbers, grade level, job series, race, color, national origin, gender, age, date of birth, disabilities, and employment issues.

(a) Is this information identifiable to the individual?

Yes. Case numbers are issued to identify individuals' information.

(b) Is the information about individual members of the public?

Yes. Information may be collected from applicants for employment.

(c) Is the information about employees?

Yes. Information may be collected from employees, former employees, and/or applicants for employment.

2. What is the purpose of the system/application?

The purpose of the iCompliant Management System is to provide a more efficient method to track, manage, and report EEO discrimination complaints as required by EEOC's regulation 29 CFR 1614 and MD 110. This system will assist the Agency in identifying issues impacting equal opportunity in the workplace. The information collected through this process is confidential and commonly used to create statistical reports. These reports provide the accountability of actions raised from all discrimination complaints.

3. What legal authority authorizes the purchase or development of this system/application?

Collection of this information is authorized by the Equal Employment Opportunity Act of 1972, 42 U.S.C. 2000e-16; Privacy Act of 1974, and Equal Employment Opportunity Commission (EEOC) regulation 29 CFR 1611.

C. DATA in the SYSTEM:

1. Generally describe the type of information to be used in the system and what categories of individuals are covered in the system?

The information to be used in the system will be personal information such as individual's name, address, phone numbers, grade level, job series, race, color, national origin, gender, age, date of birth, disabilities, and employment issues, which are collected from employees, former employees, and applicants for employment.

2. What are the sources of the information in the system?

- (a) Is the source of the information from the individual or is it taken from another source? If not directly from the individual, then what other source?**

The information in the system comes from employees, former employees, and applicants for employment who enter the EEO process as well as individuals associated with the EEO process.

- (b) What Federal agencies are providing data for use in the system?**

None

- (c) What State and local agencies are providing data for use in the system?**

None

- (d) From what other third party sources will data be collected?**

Data may be collected from witnesses associated with the EEO process.

- (e) What information will be collected from the employee and the public?**

The information collected will include: individual's name, address, phone numbers, program office involved, grade level, job series, race, color, national origin, gender, age, date of birth, disabilities, and employment issues.

3. Accuracy, Timeliness, and Reliability

- (a) How will data collected from sources other than SBA records be verified for accuracy?**

The data may be verified for accuracy using the individual's affidavit or declaration contained in the EEO case file.

- (b) How will data be checked for completeness?**

The data in the system is checked for completeness using the EEO Counselor's Report, SBA Form 980 (Formal Complaint of Discrimination), and the Report of Investigation (ROI).

- (c) Is the data current?**

The data collected stays current while the EEO case is processing.

(d) Are the data elements described in detail and documented?

Yes. The data elements are documented on the EEO Counselor's Report, SBA Form 980, and the ROI.

D. ATTRIBUTES OF THE DATA:

1. Is the use of the data both relevant and necessary to the purpose for which the system is being designed?

Yes. The data collected is used to provide the accountability and assessment of actions raised from all EEO discrimination complaints through comprehensive reports.

The system provides a user-friendly environment that enhances the Agency's infrastructure by eliminating paper-based processes and providing high quality service, which supports the Agency's long term goal 4.2 as it relates to the efficiency processing of EEO cases, management controls, and E-Government initiatives.

2. Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected, and how will this be maintained and filed?

No

3. Will the new data be placed in the individual's record?

N/A

4. Can the system make determinations about employees/public that would not be possible without the new data?

No

5. How will the new data be verified for relevance and accuracy?

N/A

6. If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?

The data is not being consolidated.

- 7. If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access through the process?**

Processes are not being consolidated.

- 8. How will the data be retrieved? Does a personal identifier retrieve the data? If yes, explain and list identifiers that will be used to retrieve the information on the individual.**

Data can be retrieved by individuals' name and/or case number. In addition, names and case numbers can be found by a number of query functions based on general information regarding the individual's work location and/or general description.

- 9. What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?**

* EEOC Form 462, Annual Federal Equal Employment Opportunity Statistical Report of Discrimination Complaints – This report provides accountability of all EEO discrimination complaints in an annual basis to the Equal Employment Opportunity Commission.

* The Notification and Federal Employee Antidiscrimination and Retaliation (No FEAR) Act Report - require federal agencies to post summary statistical data pertaining to complaints of employment discrimination filed against it by employees, former employees and applicants for employment under 29 C.F.R. Part 1614. The report is intended to assist Congress, Federal agencies and the public to assess whether and the extent to which agencies are living up to their equal employment opportunity responsibilities.

- 10. What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses and how individuals can grant consent.)**

The information received from individuals is voluntary. However, some of the information may be required to pursue the EEO process in the formal stage.

E. MAINTENANCE AND ADMINISTRATIVE CONTROLS:

- 1. If the system is operated in more than one site, how will consistent use of the system and data be maintained in all sites?**

The system will be operated from one site. The data access will be limited to those individuals with authorized use and only for specific data as it pertain to the user roles/needs.

- 2. What are the retention periods of data in this system?**

The retention periods are in accordance with the National Archives and Records Administration General Records Schedule 1.25 and 1.26.

- 3. What are the procedures for disposition of the data at the end of the retention period? How long will the reports produced be kept? Where are the procedures documented?**

System records will be disposed according to the retention periods in outlined in the National Archives and Records Administration General Records Schedule 1.25 and 1.26.

- 4. Is the system using technologies in ways that the SBA has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?**

No. iComplaints is an updated application with functions similar to those used in the previous EEO application (Equal Employment Opportunity Monitoring and Analysis System (EEOMAS)).

- 5. How does the use of this technology affect public/employee privacy?**

N/A

- 6. Will this system provide the capability to identify, locate, and monitor individuals? If yes, explain.**

Yes. The system provides the capabilities to identify, locate, and monitor individuals based on the information given when a complaint is initiated as it is required by EEOC's regulation.

- 7. What kinds of information are collected as a function of the monitoring of individuals?**

The information collected to monitor individuals include: individual's name, address, phone numbers, program office involved, grade level, job series, race, color, national origin, gender, age, disabilities, and employment issues.

8. What controls will be used to prevent unauthorized monitoring?

Agency Security Roles and Procedures/Controls – Agency Security Access Procedures – Access is limited to users with control responsibility assignments. Each responsibility comes with a pre-determined set of privileges that provides limited data viewing according to the duties and needs of the user.

9. Under which Privacy Act systems of records notice does the system operate? Provide number and name.

Small Business Administration Privacy Act System of Records, EEO Pre-Complaint - SBA 12, EEO Complaint Cases - SBA 13, and Payroll Files – SBA 23.

10. If the system is being modified, will the Privacy Act system of records notice require amendment or revision?

Currently, modifications are not required. However, amendment or revisions may be required if the modification requires information outside of the current system of records.

F. ACCESS TO DATA:

1. Who will have access to the data in the system? (e.g. contractors, users, managers, system administrators, developers, tribes, others)

EEO Staff and selected MicroPact contractors with clearances.

2. How is access to the data by a user determined? Are criteria, procedures, controls, and responsibilities regarding access documents?

Access and use is limited to persons with official need to know. Agency Security Roles and Procedures/Controls & Agency Security Access Procedures are applicable – Access is limited to users with control responsibility assignments. Each responsibility comes with a pre-determined set of privileges that provides limited data viewing according to the duties and needs of the user.

3. Will users have access to all data on the system or will the user's access be restricted? Explain.

Users will not have access to the information in the system. Data access is limited to those individuals with authorized use and only for specific data as pertain to the user's role/need.

4. What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?

Password protected system, rules of behaviors, system audit trails to document suspicious or irregular logons and navigation of the system.

5. Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system?

Yes. MicroPact contractors are provided with a Privacy Act Statement regarding the use of the information collected and the security provisions required for the system. This information is included in the contract.

6. Do other systems share data or have access to the data in the system? If yes, explain.

No. Data is not shared with other systems.

7. Who will be responsible for protecting the privacy rights of the public and employees affected by the interface?

N/A

8. Will other agencies share data or have access to the data in this system (Federal, State, Local, Other)?

No.

9. How will the data be used by the other agency?

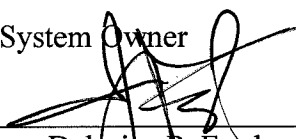
N/A

10. Who is responsible for assuring proper use of the data?

The EEO&CRC office.

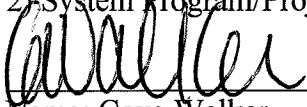
The following officials have approved this document:

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