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PRIVACY IMPACT ASSESSMENT

Please submit your responses to your Liaison Privacy Official
http://intranet.epa.gov/privacy/pdf/lpo_roster.pdf.

If you need further assistance contact Marlyn Aguilar, at aguilar.marlyn@epa.gov or (202) 566-0012.

System Name: Chemical Information System (CIS)	
Preparer: Chris Gorder/Tony Cheatham	**Office: OCSPP/OPPT/IMD**
Date: September 5, 2018	**Phone: CGorder: 564-0170/TCheatham: 564-8594**
Reason for Submittal: New PIA____ Revised PIA____ Annual Review_X___ Rescindment ____	
This system is in the following life cycle stage(s):	
Definition ☐ Development/Acquisition ☐ Implementation ☐	
Operation & Maintenance ☒ Rescindment/Decommissioned ☐	
Note: Note: New and Existing Systems require a PIA annually, when there is a significant modification to the system or where privacy risk has increased to the system. For examples of significant modifications, see OMB Circular A-130, Appendix 1, Section (c) (1) (a-f). **The PIA must describe the risk associated with that action. For assistance in applying privacy risk see OMB Circular No. A-123, Section VII (A) (pgs. 44-45).**	

Provide a general description/overview of the system:

CIS is the data system used by OCSPP to support work associated with the Toxic Substance Control Act (TSCA). The system consists of an electronic repository for data and documents, workflow to support the review of TSCA submissions, submission search functions, reporting capabilities, agency generated assessments and decision points concerning industry submissions, information on fees collected, contract information and security clearance information for non-federal employees working on TSCA, and security clearance information on federal employees working with TSCA

Section 1.0 Authorities and Other Requirements

> **1.1   What specific legal authorities and/or agreements permit and define the collection of information by the system in question?**

TSCA and The Frank R. Lautenberg Chemical Safety for the 21st Century Act.

1.2 Has a system security plan been completed for the information system(s) supporting the system?

Yes. CIS has a 2017 System Security Plan.

1.3 If the information is covered by the Paperwork Reduction Act (PRA), provide the OMB Control number and the agency number for the collection. If there are multiple forms, include a list in an appendix.

CDR - OMB Control Number 2070-0162

Section 5 - OMB Control Number 2070-0012 and OMB Control Number 2070-0038

FYI - OMB control number 2070-0046

Section 4 - OMB Control No. 2070-0183 and OMB control number 2070-0033

8(a) PAIR - OMB control numbers 2070-0004, 2070-0012, 2070-0033, 2070-0054, and 2070-0156

8(d) - OMB control numbers 2070-0004, 2070-0033, and 2070-0054

8(e) - OMB control number 2070-0046

8(a) NanoScale Materials - OMB control No. 2070-0067

8(b) - OMB Control No. 2070-0201

Risk evaluation requests – 40 CFR Part 9, unsure of specific OMB number

Section 2.0 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.

2.1 Identify the information the system collects, uses, disseminates, or maintains (e.g., data elements, including name, address, DOB, SSN).

- Data and document submitted by industry as required under the Toxic Substance Control Act (TSCA)
- Agency generated assessments and decision points concerning industry submissions under TSCA
- Information on fees collected under TSCA
- Contract information and security clearance information for non-federal employees working on TSCA
- For contractors, CIS contains the contract information, what sections under TSCA the contractor is cleared for, and the TSCA clearance start and end dates. The system does not contain any NACI or other clearance/background investigation information.

- For federal staff, CIS contains the organization information for the staff member, what sections under TSCA the contractor is cleared for, and the TSCA clearance start and end dates. The system does not contain any NACI or other clearance/background investigation information

2.2 What are the sources of the information and how is the information collected for the system?

Data is collected through two routes. The first is through electronic submission tools housed in EPA's Central Data Exchange (CDX). Industry enters their TSCA related data into the reporting applications and submits them to EPA through a transfer of data between the CDX and CBI LAN NGN nodes. The data and documents deposited directly into CIS. The second avenue for data entry is through a role restricted CIS interface located within OPPT's CBI LAN. Federal and contract employees manually enter/attach data and documents that are deposited into CIS. The data captured by CIS includes both structured and unstructured data.

2.3 Does the system use information from commercial sources or publicly available data? If so, explain why and how this information is used.

CIS information is provided by commercial/industry submitters to comply with TSCA regulations.

2.4 Discuss how accuracy of the data is ensured.
Validations are embedded into the front-end reporting applications requiring data to be entered in specific formats, ranges, values, etc. where applicable. Received submissions go through an internal QC process before being accepted by the Agency.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk:

The data is collected either through CDX which encrypts the data until it reaches the CBI LAN or is received in hard copy format from the submitter, as required by TSCA regulations. The submitter sends hardcopy information to EPA according to their company requirements (USPS, courier, etc.).

Mitigation:

None

Section 3.0 Uses of the Information

The following questions require a clear description of the system's use of information.

3.1   Describe how and why the system uses the information.

The system captures contact information so scientific reviewers of the submissions have the information needed when additional or clarifying information is needed from a submitter. In most cases, the contacts submitting under 1 section of TSCA are not the same as those submitting under other sections. In addition, the submitter as a legally responsible party, must certify that the information supplied to the Agency is accurate and correct.

3.2   How is the system designed to retrieve information by the user? Will it be retrieved by personal identifier? Yes___ No_X_. If yes, what identifier(s) will be used. *(A personal identifier is a name, social security number or other identifying symbol assigned to an individual, i.e. any identifier unique to an individual. Or any identifier that can be linked or is linkable to an individual.)*

Information is retrieved by company name, site name, submissions type, received date, chemical ID, case numbers, submission status (approved, rejected, pending), CBI status. Users cannot query by contact name.

3.3   If the system retrieves information by personal identifier, what types/elements of information about the user are being retrieved?

N/A

3.4   What Privacy Act System of Records Notice(s) (SORN(s)) apply to the information?

NA

3.5   Does the system use technology to conduct electronic searches, queries, or analyses in an electronic database to discover or locate a predictive pattern or an anomaly? If so, state how EPA plans to use such results.

Queries like this are currently not used.

3.6   <u>Privacy Impact Analysis</u>: Related to the Uses of Information

<u>**Privacy Risk**</u>:

Information may only be used according to TSCA regulations.

<u>Mitigation</u>:

All personnel dealing with this information must go through training, background checks, and be cleared under TSCA.

Section 4.0 Notice

The following questions seek information about the system's notice to the individual about the information collected, the right to consent to uses of information, and the right to decline to provide information.

4.1 **How does the system provide individuals notice prior to the collection of information? If notice is not provided, explain why not.**

Landing pages that appear when a user selects each application informs the user why the information is being collected.

4.2 **What opportunities are available for individuals to consent to uses, decline to provide information, or opt out of the collection or sharing of their information?**

Users must initiate a submission process and confirm the submission before it is sent to the Agency.

4.3 **Privacy Impact Analysis: Related to Notice**

Privacy Risk:

None.

Mitigation:

None.

Section 5.0 Access and Data Retention by the system

The following questions are intended to outline the access controls for the system and how long the system retains the information after the initial collection.

5.1 **Do the systems have access control levels within the system to prevent authorized users from accessing information they don't have a need to know? If so, what control levels have been put in place? If no controls are in place why have they been omitted?**

General users with TSCA clearance and a CBI LAN account can access the system. Designated users within the user group are provided separate rights to modules within the system based on needs. System administrators can perform maintenance and updates to the system.

5.2 **Are there other components with assigned roles and responsibilities within the system?**

Users who have active TSCA CBI clearance and CBI LAN rights can access the search capabilities within CIS. If a user needs other rights (pre-screening, report generation, etc.), those rights are assigned as needed using the Admin module of CIS.

5.3 **Who** *(internal and external parties)* **will have access to the data/information in the system? If contractors, are the Federal Acquisition Regulations (FAR) clauses included in the contract (24.104 Contract clauses; 52.224-1 Privacy Act Notification; and 52.224-2 Privacy Act)?**

Federal and select contractor staff have access to CIS. Contract staff only have access to CIS if required by contract. No PII data is stored on the CBI LAN.

5.4 **What procedures are in place to determine which users may access the information and how does the system determine who has access?**

Federal and contractor staff must have an approved TSCA CBI clearance and complete the TSCA ADP User Registration Form to have access to the information. CIS maintains a user profile on all TSCA CBI cleared users. Users must update their CBI clearance on an annual basis. CIS automatically locks a user's account from access if their CBI clearance is expired.

5.5 **Explain how long and for what reason the information is retained. Does the system have an EPA Records Control Schedule? If so, provide the schedule number.**

Most information submitted under TSCA is maintained indefinitely as scientific reviewers may often refer to submissions with similar chemicals to aid in the review and decision-making process for new chemical submissions.

Schedule 1035 (b) – Permanent (transfer to NARA 15 years after file closure) for Section 4, Section 5, Section 6, Section 8, and Section 21

Schedule 1035 (d) – Disposable (close file either at end of calendar or fiscal year, destroy 5 years after file closure) for Section 12(b) and Section 13

5.6   Does a records retention schedule approved by the National Archives and Records Administration (NARA) exist?

Yes

5.7   Privacy Impact Analysis: Related to Retention

<u>**Privacy Risk**</u>**:**

There is no risk to this information being retained for extended amounts of time. Contact information is maintained primarily as part of the official record, according to EPA schedules regardless of the continued existence of a company or change in ownership.

<u>**Mitigation**</u>**:**

None.

Section 6.0 Information Sharing

The following questions are intended to describe the scope of the system information sharing external to the Agency. External sharing encompasses sharing with other federal, state and local government, and third-party private sector entities.

6.1   Is information shared outside of EPA as part of the normal agency operations? If so, identify the organization(s), how the information is accessed and how it is to be used, and any agreements that apply.

No. Regulatory information is made available on Agency sites. No PII is shared.

6.2   Describe how the external sharing noted in 6.1 is compatible with the original purposes of collection in the SORN noted in 3.4.

Forms are not shared.

6.3   Does the agreement place limitations on re-dissemination?

There are no agreements. The information is made available due to regulatory requirements.

6.4   Describe how the system maintains a record of any disclosures outside of the Agency.

No.

6.5   How does the system review and approve information sharing

agreements, MOUs, new uses of the information, new access to the system by organizations within EPA and outside?

CIS connects with CDX to allow companies, states, tribes and other entities the capability to securely and reliably transfer environmental data in and out of the Agency using a web service-based application designed for centralizing extranet within the Agency. CIS has a MOU and ISA with CDX that is reviewed annually for the security assessment review.

6.6   Privacy Impact Analysis: Related to Information Sharing

Privacy Risk:

None. Only information required to be made available due to regulatory requirements is published on Agency web pages.

Mitigation:

None.

Section 7.0 Redress

The following questions seek information about processes in place for individuals to seek redress which may include access to records about themselves, ensuring the accuracy of the information collected about them, and/or filing complaints.

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

The contact information in question only pertains to representatives of industry submitters. They cannot access the submitted information submitted and stored within CIS. If the contact information on a submission changes, and the submitting company desires to update the contact information (which is not common), they can amend their submission(s) using the CDX housed reporting applications.

7.2   What procedures are in place to allow the subject individual to correct inaccurate or erroneous information?

If the contact information on a submission changes, and the submitting company desires to update the contact information (which is not common), they can amend their submission(s) using the CDX housed reporting applications.

7.3   How does the system notify individuals about the procedures for correcting their information?

Information on how to contact the TSCA Hotline and CDX Helpdesk are provided on the application screen.

7.4   Privacy Impact Analysis: Related to Redress

None. Facilities update information directly through CDX.

Mitigation:

None.

Section 8.0 Auditing and Accountability

The following questions are intended to describe technical and policy- b a s e d safeguards and security measures.

8.1   How does the system ensure that the information is used in accordance with stated practices in this PIA?

Industry contact information, including company email addresses and phone numbers, has not been considered PII before. The system only allows personnel with TSCA CBI clearance to access to the information. Personnel can only use the information according to TSCA guidelines.

8.2   Describe what privacy training is provided to users either generally or specifically relevant to the system/collection.

Agency personnel go through TSCA training to be CBI cleared. Industry users of the CDX housed applications are provided with user guides.

8.3   Privacy Impact Analysis: Related to Auditing and Accountability

Privacy Risk:

None.

Mitigation:

All users must undergo TSCA CBI training, obtain and maintain an approved CBI clearance, and have an approved TSCA ADP Registration Form to obtain a user and password to access CIS. Users also must complete the annual Information Security Awareness Training (ISAT) which includes a review of the Agency' Rules of Behavior (ROB).