RULES OF BEHAVIOR

**FOR SLT REVIEWER ROLE IN THE**

**COMBINED AIR EMISSIONS REPORTING SYSTEM (CAERS)**

The SLT Reviewer role within the Combined Air Emissions Reporting System (CAERS) application provides State/Local/Tribal (SLT) partners with the ability to manage data and review emissions reports within CAERS for any facilities that fall under the SLT’s jurisdiction. An SLT Reviewer can also authorize and remove authorization for CAERS users to view, enter, submit, and certify emissions reporting data for any facilities within the SLT’s purview.

Each SLT Reviewer within CAERS shall be authorized only to administer their specific agency reports and facilities. The SLT Reviewer role is a “closed registration” role which must be directly granted to a user by the Central Data Exchange (CDX) Help Desk, upon request by the CAERS Program Office. An SLT Reviewer is assigned to a specific SLT agency by the CDX Help Desk when they are provisioned with the SLT Reviewer role.

The Reviewer role shall not be provisioned to a user in CDX Production without:

1. The target SLT having completed the CROMERR application onboarding package for the CAERS dataflow and approved for production by the CDX Change Control Board (CCB).
2. The user having electronically signed this SLT Review Rules of Behavior and the document having been retained as a signed record within the CDX Cross Media Electronic Reporting Rule (CROMERR) archive.

CAERS Certifiers and Preparers must explicitly request authorization from an SLT Reviewer to be able to report for a given facility within the SLT’s purview. As part of this request, the CAERS system shows the SLT Reviewer the Certifier’s or Preparer’s full name (as registered in CDX), their email, the facility name/id, and their CAERS role (Certifier or Preparer).

All CAERS SLT Reviewer users shall ensure that CDX and CAERS data are protected from loss, misuse, or unauthorized access to or modification of the information in the CAERS dataflow.

Given the nature of this access and the sensitive data that it relates to, all SLT Reviewer users must explicitly acknowledge and comply with the following Rules of Behavior. Violations may result in suspension of access privileges, or removal depending on the severity of the violations. In addition, for the unauthorized disclosure of information, including information protected by the [Privacy Act of 1974 (5 U.S.C. § 552a)](https://www.treasury.gov/tigta/foia/tigta-privacy.htm), there may be criminal and civil penalties, including fines or prison terms.

Individuals with questions regarding these Rules of Behavior or who wish to report security violations, should contact the CAERS Program Office at caer@epa.gov or the CDX Help Desk at <https://cdx.epa.gov/Contact>.

**The CAERS SLT Reviewer Role Rules of Behavior:**

**Authorized Use / Official Business**

* SLT Reviewer shall use CAERS and CDX computer systems and information for official business only.
* Deliberate access or use of CAERS user registration data for anything other than authorized Agency purposes is strictly prohibited.
* SLT Reviewer users must abide by the CDX Warning and Privacy notice provided at: <https://cdx.epa.gov/PrivacyNotice>

**Access**

* SLT Reviewer shall access and use only information for which they have official authorization.
* SLT Reviewer shall be responsible for verifying that the requesting Certifiers (who have signing authority) and Preparers (who do not have signing authority) in the CAERS application have a valid authority to represent or view, enter, submit or certify emission reports for the facility for which they are being authorized. SLT Reviewer shall only be allowed to provide authorization for facilities that correspond with their SLT jurisdiction.
* SLT Reviewer shall remove authorization for any Certifiers and Preparers as soon as they become aware that these users no longer represent a facility.

**Determination of Signing Authority**

* SLT Reviewer shall be responsible for verifying that the requesting Certifiers in the CAERS application have a valid authority to sign emission reports for the facility for which they are being authorized.
* SLT Reviewer shall follow their SLT procedure submitted as part of their respective CROMERR application package for CAERS to determine the Certifier user’s signing authority.
* SLT Reviewer shall contact the CDX Help Desk if they become aware that a Certifier no longer represents a facility.

**Accountability**

* SLT Reviewer shall be accountable for their own actions and responsibilities related to information and information resources entrusted to them.
* SLT Reviewer shall be responsible for advising any CAERS user they authorize on their behavior for using the CAERS dataflow.
* SLT Reviewer shall not attempt to perform unauthorized activities.
* SLT Reviewer shall not attempt to subvert or override internal CDX registration controls or CAERS authorization and facility access controls.
* SLT Reviewer shall follow approved procedures for granting access rights through the CAERS system to all Certifiers and Preparers.
* SLT Reviewer shall log out of the CAERS application when not in use.

**Confidentiality**

* SLT Reviewer shall protect Controlled Unclassified Information (CUI) or personally identifying information from disclosure to unauthorized individuals or groups. See: <https://www.epa.gov/privacy>
* SLT Reviewer is subject to Section (i)(1) Criminal Penalties, under 5 U.S.C. 552a, the Privacy Act of 1974, “Any officer or employee of an agency, who by virtue of his employment or official position, has possession of, or access to, agency records which contain individually identifiable information the disclosure of which is prohibited by this section or by rules or regulations established thereunder, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.”
* SLT Reviewer shall not allow CAERS report data or userinformation to remain on their screen when an unauthorized person is present.

**Safeguarding**

* + SLT reviewer shall safeguard CAERS data by using the following methods:
		- Following their procedures for handling CAERS data.
		- Restricting access to computers that are logged into CDX (i.e., authenticated logins and screen savers, locked offices, etc.).
		- Restricting access to CAERS data to those individuals with an official need to access the data (i.e., SLT Reviewer).
		- Transmitting CAERS data across the network in a secure manner (i.e., to secure web servers using data encryption with passwords transmitted via secure socket layer).
		- Reporting any accidental disclosure or suspected misuse of CAERS data immediately to the CDX Help Desk.

**Integrity**

* SLT Reviewer shall protect the integrity and quality of the CAERS dataflow and information.
* SLT Reviewer shall never maliciously change CAERS data.
* SLT Reviewer shall never enter unauthorized, inaccurate, or false information.
* SLT Reviewer shall never authorize users to report for a facility in their jurisdiction without positively confirming their signing authority or their authority to prepare reports as a representative of the facility per the SLT procedures.

**Availability**

* SLT Reviewer shall protect the availability of information and systems, ensuring timely and reliable access to and use of information. See: <https://www.epa.gov/sites/default/files/2019-09/documents/information_security_policy_20190820_508_vwn.pdf>

**Passwords and User IDs**

* SLT Reviewer must accept the CDX Terms and Conditions identified at: <https://cdx.epa.gov/Terms>.
* SLT Reviewer shall protect information securely through effective use of their CDX user IDs and passwords.
* SLT Reviewer shall never share CDX user IDs or SLT Reviewer privileges.
* SLT Reviewer shall protect their CDX password.
* SLT Reviewer shall never share their CDX password.

**Hardware**

* SLT Reviewer shall protect computer equipment from damage, abuse, and unauthorized use.

**Software**

* SLT Reviewer shall use software in a safe manner that protects software from damage, abuse, and unauthorized use.
* SLT Reviewer must protect software and protect themselves from malicious software.

**Reporting**

* SLT Reviewer must report any CAERS-related security incidents by contacting the CDX Help Desk at <https://cdx.epa.gov/Contact>. Examples of incidents include:
	+ - Unexplained occurrences with regard to CAERS data (e.g., a facility user gets a notification they have been authorized for a facility, but you did not authorize them)
		- Sharing of passwords or user IDs
		- Lack of expected security controls in the CAERS application
		- Unauthorized access to CAERS data
* SLT Reviewer shall report to the CAERS Program Office at caer@epa.gov prior to or immediately following discontinued responsibility as an SLT Reviewer, termination, or after leaving their position so that their access to the SLT Reviewer role in CAERS can be removed.

By signing this document as an SLT Reviewer, you have read and will abide by these Rules of Behavior for the CAERS dataflow.

**U.S. Environmental Protection Agency**

**Rules of Behavior for the SLT Reviewer role of the Combined Air Emissions Reporting System (CAERS)**

**I** (**print name) confirm that I have read the text copy of the *Rules of Behavior for the SLT Reviewer Role in the Combined Air Emissions Reporting System* dated March 8. 2022.**

**I hereby certify that I:**

**Example: Do Not Sign and Submit**

* **Understand the information contained in the** ***Rules of Behavior for the SLT Reviewer Role in the Combined Air Emissions Reporting System;***
* **Understand the policy and goals for protecting information and will respect and protect CAERS data that is available via the SLT Reviewer role;**
* **Understand the potential impact of threats to and vulnerabilities of computer systems; and**
* **Agree to follow sound security practices, especially with regard to safeguarding my CDX User ID and Password.**

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Signature

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date

PLEASE MAIL THIS DOCUMENT AS SOON AS POSSIBLE TO:

U.S. Environmental Protection Agency

Environmental Protection Agency

C/O CGI Federal Inc.

12601 Fair Lakes Circle

Fairfax , Virginia 22033