



Pension Benefit Guaranty Corporation

LEW Privacy Impact Assessment

Version 1.0

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Executive Summary Report

I. INTRODUCTION

Federal agencies are required by law to ensure the protection of the personally identifiable information (PII) they collect, store, and transmit. The Pension Benefit Guaranty Corporation (PBGC) is responsible for ensuring proper protections of the information contained within its information systems, including PII. To that end, PBGC developed a Privacy Impact Assessment (PIA) to evaluate whether a system that contains PII meets legal privacy requirements.

II. PURPOSE AND SCOPE

Purpose: PBGC is responsible for ensuring the confidentiality, integrity, and availability of the information contained within its Legal Edge for Windows (LEW) system. A PIA is used to evaluate privacy vulnerabilities and risks and their implications on LEW. The PIA provides a number of benefits to Office of the General Counsel (OGC); including enhancing policy decision-making and system design, anticipating the public's possible privacy concerns, and generating confidence that privacy objectives are addressed in the development and implementation of LEW. The PIA Questionnaire provides a framework by which agencies can ensure that they have complied with all relevant privacy policies, regulations, and guidance, both internal and external to PBGC.

Scope: A Privacy Impact Assessment was conducted on the LEW application. LEW is cited on the PBGC Sensitive System List and reported on either the PBGC's Exhibit 53 or via capital asset plans and business cases (Exhibit 300s). It is also listed as a Major Application on the Information Systems Inventory Report. The system is a custom-developed application that is owned by PBGC.

The LEW system is used by OGC employees to enter, coordinate, manage, display, and report information related to ERISA and general law matters that are handled by the OGC and in the administration of the office.

III. PIA APPROACH

A questionnaire was developed in accordance with the FIPS 199- Standards for Security Categorization of Federal Information and Information Systems, Office of Management and Budget (OMB) requirements, The Privacy Impact Act of 1975, The National Institute of Standard and Technology (NIST) recommendations, and the Federal Enterprise Architecture Business Reference Model (BRM). The questionnaire was developed in order to identify any Personal Identifiable Information (PII).

The questionnaire was given to the Information System Owner (ISO) and Subject Matter Expert (SME) of the LEW application for their response. An Information Security Analyst from the TechGuard Security, LLC and the Enterprise Information Security Office (EISO) staff met with the ISO and SME of the LEW to discuss the questionnaire. Responses from the ISO and the SME of LEW were obtained and used to fill in the final PIA and analysis.

IV. SYSTEM CHARACTERIZATION

As stated before, LEW is used to enter, coordinate, manage, display, and report information related to ERISA and general law matters that are handled by the OGC and in the administration of the office. LEW is essentially an information store, as opposed to an information processing or manipulation system. Basic matter information and information related to documents (routine and discovery), events, to-do's, staffing, associated parties (e.g., debtor's counsel, U.S. Trustee, Judge, expert witnesses, and other "players" who are active parties to litigation, etc.), liens, notes, facts, claims and *inter alia* are entered into LEW by OGC personnel and file room contractors. Attorneys are responsible for ensuring that data for the matters to which they are assigned is accurate and current and for prescribing the means for the addition and amendment of case information, e.g., by attorney, secretary or paralegal. Only OGC staff members have access to the system on a read-write basis. LEW is used by OGC Staff on a read/write basis (see above). Limited read-only access to LEW-created data is given to staff in other PBGC departments via OGC intranet website.

LEW is primarily an OGC system, although it was denominated a critical system for Y2K purposes. Non-confidential and non-sensitive information is available to other PBGC departments via internal PBGC web page on a read-only basis. No non-OGC personnel have access to LEW directly.

V. PIA RESULTS

The PIA evaluation revealed that the LEW application contains a PII and only those who are authorized to use the application have access to it and the information contained therein. The users are utilizing the information for the sole purpose of performing their assigned duties. No discrepancies have been discovered.

VI. SUMMARY

LEW contains PII in secure online databases. Security is consistent and the servers where the applications and data are stored are physically secured and password protected. Only staff authorized to use the application have access to it and the information contained therein. Staff utilizes the information for the sole purpose of performing their assigned duties. Further information can be requested by contracting PBGC's Disclosure Officer.