

OTA Federal Agency Data Request

After reviewing all available sources of information on Federal use of information technology, OTA determined that important information was not available in certain areas critical to the OTA assessment. To meet the need for additional information, OTA drafted a request for current agency data covering the areas in which information was lacking or incomplete. The draft request was reviewed by congressional staff of interested committees, and then pretested in four agencies—the Energy Information Administration (Department of Energy), the Food and Nutrition Service (Department of Agriculture), the Office of the Assistant Secretary for Postsecondary Education (Department of Education), and the Veterans Administration. Based on the results of the pretest, the data request was revised. (See attachment 1 for portions of the final, revised data request relevant to this report.)

In April 1985, the data request was sent to the 13 cabinet-level agencies and 20 selected subcabi-

net agencies (see attachment 2) with a turnaround time of 5 weeks. Sufficient copies were provided for each of the subcomponents of the cabinet agencies. Agencies were informed that no new data collection was to be conducted. An OTA staff member was identified who could be contacted to provide clarification where necessary.

All agencies that were sent the request provided a response, although the responses varied in completeness and quality. A total of 142 agency components provided information. While many of the agencies provided responses well within the time allotted, the completion time for the entire request (142 agency components) was approximately 2 months. The data provided were compiled by OTA staff and appear as appropriate throughout the report.

A draft copy of the OTA report was provided to each of the participating agencies for review and comment.

ATTACHMENT 1

III. Privacy Act (General)

A. Please provide the following **data on Privacy Act Implementation in your agency:**

1. Position and GS level of the Privacy Act Officer or agency official with day-to-day operating authority
2. Position and level of agency official with policy authority
3. Total number of agency staff (In full-time equivalents) assigned **to Privacy Act matters**
4. **Role and** responsibility of your agency's Office of Inspector General (e.g., in developing internal agency procedures, responding to Privacy Act requests, preparing Privacy Act materials for OMB).

B. Please specify the procedures your agency follows to ensure Privacy Act record quality, e.g., complete and accurate records. Attach a copy of agency regulations or procedures.

C. Does your agency conduct record quality audits? Yes No . If yes, please provide the results of such audits, including copies of any written **audit** reports.

D. Has your agency developed agency-specific guidelines or procedures for determining what is "relevant" and "timely" information within your agency? Yes No . If yes, please provide a copy of such guidelines.

E. Has your agency been a defendant in Privacy Act suits at any time since 1980? Yes No . If yes, please list or describe the **legal action(s) and basic issue(s) and provide citations**

F. Has your agency revised or updated Privacy Act guidelines with respect to microcomputers? Yes No . If yes, please provide a copy of such revised or updated guidelines.

Name _____ Agency/Unit _____
 Title _____ Telephone No. _____

Iv. Privacy Act/Computer Matching and Front-End Verification

A. Has your agency Participated in computer matching activities* as a matching agency (the agency performing the match) or as a source agency (the agency disclosing records to the matching Echlng agency for use in the match) at any time since 1980? Yes No Please provide a copy of any reports on your matching activities including the information listed below, to the extent available- Please give priority to information on matches conducted in 1984, with complete quantitative data provided where possible.

1. Date of match
2. Participating parties (indicate source and matching agencies):
 - Federal agencies
 - State agencies
 - Private sector organizations
3. Location of match
4. Frequency of match: one time or ongoing
5. Files matched
6. Method(s) used to exchange records (e.g., direct electronic~ computer tape, computer disk)
7. Purpose of match
8. Number of records involved
- 90 Number of hits
- 100 Percentage of hits verified

B. Are cost-benefit analyses done prior to- computer matching? Yes No • If yes, what **are the quantitative and qualitative categories** used for assessing costs and benefits? How are the cost-benefit analyses used **within the agency?** Please provide a copy of your agency's three most recent cost benefit analyses.

c. Do the indivldual subjects of the match provide written consent prior to a match? Yes ___ No ___. If yes, please attach a copy of the consent form.

D. Are your matches explicitly required or authorized by legislation? Yes No If yes, please list matches required or authorized and cite public law section for each type of match.

E. Are procedures used to ensure that the subject record files contain accurate information? Yes ___ No ___. If yes, please specify the procedures used.

*Defined as the computerized comparison of **two or more** automated systems of records to identify individuals common to two or more of the record systems or unique to one of the record systems.

F. What is the process once a hit has occurred? What are the standards , procedures, and costs (estimate if necessary) for verification? What *is* the appeal process, within the agency and outside, for an individual to respond to a "hit"? Have there been any court challenges to the matches? Yes ___ No _____. If yes, what were the results? Please attach case numbers.

G. Are cost-benefit analyses done after matches? Yes _____ No _____ If yes, please provide a copy of your agency's three most recent post-match cost-benefit analyses.

H. Has your agency used computerized front-end verification (i.e., certification of the accuracy and authenticity of information supplied by an applicant by checking against similar information from another agency or source) **at any time since 1980 as part of the application process for participation in Federal programs or benefits?** Yes _____ No _____ If yes, please provide a copy of any agency reports on your use of front-end verification and describe the process, including use of computers, notice to applicants, and costs. If no, please describe any agency plans for use of front-end verification.

I. What have been the average results of front-end verification as measured by hits (i.e., applicant's eligibility for Federal program or benefit not verified) overall and by Federal program or benefit category. If available, please break down by computerized and manual verifications.

J. Has your agency conducted any cost-benefit studies of front-end verification? Yes ___ No _____. If yes, please provide copies of the three most recent studies.

Name _____ Agency/Unit _____

Title _____ Telephone No. _____

v. Privacy Act/Third Party Information and Profiling

A. Does your agency collect any personally-identifiable information in electronic form from third party sources (i.e., from sources other than the subject individual)? Yes ___ No ___. If yes, please provide information on third party collection, including nature of information sources, authority for collection, agency use, procedures to assure accuracy, subject individual's rights to access, *review*, and challenge the information, and secondary dissemination of third party information outside the agency (specify to whom and for what purpose). If no, please describe any agency plans for collecting third party information.

B. Does your agency use computer-assisted statistical programs and/or related software to develop generic profiles of types or categories of individuals and/or probabilities of such categories of individuals engaging in activities or behavior of interest to the agency (e.g., with respect to misrepresentation of eligibility to receive Federal aid or benefits, non-compliance with or violation of agency regulations, violation of civil or criminal statutes)? Yes ___ No ___ If yes, please provide further details below. If no, please describe any agency plans for the use of such profiling.

c* For each specific use of profiling, please provide the following information, to the extent available:

1. Description of profiling (categories and numbers of individuals, types of behavior)
2. Types of programs and/or software used
3. Development and testing of programs and/or software (please be specific; provide a copy of any written research reports)
- 4* Source(s) of input data
5. Authority for the profiling (cite specific statute or regulation where applicable)
6. Agency use of the profiling
7. Results of agency use of the profiling (e.g., percentage of hits on targeted individuals, civil and/or criminal penalties imposed). Please provide a copy of any profiling evaluation reports.

Name _____ Agency/Unit _____
 Title _____ Telephone No. _____

VII. privacy Act/Electronic Records Management and Electronic Mail

A. Please estimate, to the extent possible, the number and percentage of manual versus computerized records maintained by your agency in the following categories for fiscal years 1975 and 1984:

	Manual No. %	Computerized No. %	Total No. %
Records subject to Privacy Act			
1975			
1 9 _8 4			
Other records maintained subject to public law or agency regulation			
1975			
1-9-8_4			

B. If your agency maintains one or more record systems subject to the privacy Act, please list the **10 largest Privacy Act record systems, the total number of persons and records in each system and the percentage** of manual versus computerized records for each system.

<u>Record System</u>	<u>No. Persons</u>	<u>No. Records</u>	<u>%Manual</u>	<u>%Computerized</u>
1. _____	_____	_____	_____ %	_____ %
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____
6. _____	_____	_____	_____	_____
7. _____	_____	_____	_____	_____
8. _____	_____	_____	_____	_____
9. _____	_____	_____	_____	_____
10. _____	_____	_____	_____	_____

c* For your agency's computerized records (e.g., records stored in electronic form on computer tape or disk), please provide the following information, to the extent available:

1. Procedures for backup copies (please estimate percentage of records backed up by each of the following: paper copy, microfiche or microform, duplicate computer tape or disk, no backup, more than one backup)
2. Procedures for storage and maintenance of electronic records (please specify how long such records are stored) what protections are used to protect against alteration, and when and how electronic records are archived, i.e. , moved off premises to a remote storage location)

- 3. Procedures for purging of electronic records (under what conditions and when are records purged, i.e., eliminated or destroyed)
- 4. Procedures for verification of signatures on or authenticity of electronic records
- 5. Procedures for duplication or copying of electronic records (e.g., what is the agency definition of "record copy" of an electronic record)

D. Does your agency use electronic mail? Yes _____ No _____ If yes, please provide further details below. If no, please describe any agency plans for use of **electronic mail not otherwise described in response to Section I.**

E. Please provide the following information, to the extent available, on your agency's use of electronic mail.

- 1. Total volume in number of messages sent (I.e., pieces of electronic mail) per year for fiscal year 1984
- 2. **Type of electronic mail system** used (e.g., in-house, outside contractor, commercial)
- 3. Total volume in number of messages received per year for 1984
- 4. Content of messages sent (in percentage of 1984 total):

<u>Purpose</u>	<u>Percentage</u>
Intra-agency correspondence/memos	_____ %
Intra-agency records/reports	_____
Interagency correspondence/memos	_____
Interagency records/reports	_____
External correspondence/memos	_____
External records/reports	_____

5. How long are backup message copies retained in electronic and/or paper form?

6. Who participates in electronic mail? (Specify type of agency staff, e.g., administrative, secretarial, technical, research)

F. Does your agency have a set of privacy/confidentiality/security practices or policies developed specifically for electronic mail? Yes _____ No _____. If yes, please provide a copy or describe in detail.

Name _____ Agency/Unit _____
 Title _____ Telephone No. _____

VIII. Investigative, Law Enforcement, and Intelligence Applications

A. Does your agency maintain computerized **record systems** for investigative, law enforcement, and/or intelligence purposes? Yes . No . If yes, please provide the detailed information below. --

B. For each such computerized record system, please provide the following information, to the extent available:

1. Name of record system
2. Purpose of record system
3. Number of records
4. Number of persons
5. Types of record information (e-g-, individual names, social security number, address)
6. Sources of record information
- 7* Users of record systems and rules on access
8. Statistics on quality of records and procedures for maintaining record completeness and accuracy

C. Does your agency use computer-assisted statistical programs and software to develop profiles of types or categories of individuals engaging or likely to engage in activities of investigative, law enforcement, and/or intelligence interest to your agency? Yes . N o . **If yes,** please provide further **details below.** **If no,** please describe any agency plans for the use of such profiling.

D. For each specific use of computer-based profiling, please provide the following information, to the extent available (and not otherwise provided in Section V):

1. Description of profiling (categories and number of individuals, types of behavior)
2. Types of programs and/or software used
3. Development and testing of programs and/or software (Please be specific; provide a copy of any written research reports)
4. Source(s) of input data
5. Authority for the profiling (cite specific statute or regulation where applicable)
6. Agency use of the profiling
7. Results of agency use of the profiling (e.g., percentage of hits on targeted individuals, civil and/or criminal penalties imposed). Please provide a copy of any profiling evaluation reports.

Attachment 2.—Federal Departments and Agencies Responding to OTA Data Request

	<i>Number of agency components responding</i>
<i>Cabinet department</i>	
Agriculture	25
Commerce	17
Defense	14
Education (agencywide)	2
Energy (EIA, FERC, and rest of agency)..	3
Health and Human Services	9
Housing and Urban Development (agencywide)	1
Interior	9
Justice	13
Labor	8
State (agencyWide)	1
Transportation	11
Treasury	9
Subtotal	122
<i>Independent agencies</i>	
Commission on Civil Rights	1
Consumer Product Safety Commission	1
Environmental Protection Agency	1
Equal Employment Opportunity commission	1
Federal Communications Commission	1
Federal Elections Commission..	1
Federal Emergency Management Agency	1
Federal Reserve System	1
Federal Trade Commission	1
General Services Administration	1
National Aeronautics and Space Administration.	1
National Archives and Records Administration	1
Nuclear Regulatory Commission	1
Securities and Exchange Commission	1
Selective Service System	1
Small Business Administration	1
Arms Control and Disarmament Agency.	1
U.S. Information Agency	1
Agency for international Development	1
Veterans Administration	1
Subtotal	<u>20</u>
Total	<u>142</u>