

Department of Energy
Privacy Impact Assessment (PIA)

Name of Project: EERE Project Management Center Database
Bureau: Department of Energy – Golden Field Office
Project Unique ID: NA
Date: 12/4/2008

A. CONTACT INFORMATION

1. Who is the person completing this document?

Roselle Drahushak-Crow

2. Who is the system owner?

Roselle Drahushak-Crow

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

Dan Dohner

4. Who is the IT Security Manager who reviewed this document?¹
(Tim Porter, Information Systems Security Officer)

5. Who is the Privacy Act Officer who reviewed this document?¹

Anna Martinez-Barnish

*CHRIS M. BIRNEY
FOR TIM PORTER
AM*

B. SYSTEM APPLICATION/GENERAL INFORMATION

1. Does this system contain any information about individuals?

It potentially contains minimal information about individuals who are sole proprietors of businesses, and who use their personal information for their business (i.e., social security numbers in lieu of a tax identification number).

a. Is this information identifiable to the individual?¹ Potentially, yes.

b. Is the information about individual members of the public? Yes. ✓

c. Is the information about DOE or contractor employees? No

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

¹ "Identifiable Form" - According to the OMB Memo M-02-22, this means information in an IT system or online collection: (i) that directly identifies an individual (e.g., name, address, social security number or other identifying number or code, telephone number, email address, etc.) or (ii) by which an agency intends to identify specific individuals in conjunction with other data elements, i.e., indirect identification. (These data elements may include a combination of gender, race, birth date, geographic indicator, and other descriptor).

To store information about financial assistance awards, grant awards and recipients. Recipients are typically state and local governments, universities, corporations, and small businesses.

- 3. What legal authority authorizes the purchase or development of this system/application?
Federal law requires the Department of Energy to monitor and track project progress for federally funded research and development activities.**

C. DATA IN THE SYSTEM

- 1. What categories of individuals are covered in the system?
Business owners.**
- 2. What are the sources of information in the system?**
 - a. Is the source of the information from the individual or is it taken from another source? Individuals enter the information**
 - b. What Federal agencies are providing data for use in the system? N/A**
 - c. What tribal, state, and local agencies are providing data for use in the system? Tribal, State and local agencies who receive financial assistance or grant funding for research and development from the Department of Energy enter data in the system for funding awards and grants that are provided to them. No agencies provide information for members of the public who are funding recipients.**
 - d. From what other third party sources will data be collected? N/A**
 - e. What information will be collected from the individual and the public? No personal information is required but some sole proprietorship business owners elect to use their social security numbers in lieu of a tax identification number. Some may also enter their home address as their place of business.**
- 3. Accuracy, Timeliness, and Reliability**
 - a. How will data collected from sources other than DOE records be verified for accuracy? No other data is collected.**
 - b. How will data be checked for completeness? N/A**

- c. **Are the data current? What steps or procedures are taken to ensure the data are current and not out-of-date? All data is provided by the recipients of funding.**
- d. **Are the data elements described in detail and documented? Yes.**

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.**
- 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/the 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 are being consolidated, what controls are in place to protect the data from unauthorized access or use? N/A**
- 7. **If processes are being consolidated, do the proper controls remain in place to protect the data and prevent unauthorized access? NA**
- 8. **How will data be retrieved? Does a personal identifier retrieve the data? If yes, explain, and list the identifiers that will be used to retrieve information on the individual. Data is retrieved on the basis of the funding award number – a Department of Energy generated number.**
- 9. **What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them? No reports are available on individuals. Reporting is based on award numbers – a Department of Energy generated number.**
- 10. **What opportunities do individuals have to decline to provide information (e.g., where providing information is voluntary) or to consent only to particular uses of the information (other than required or authorized uses)? They can obtain a taxpayer identification number from the IRS and use a business address, and avoid entering any privacy information**

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 is operated from one site.**
2. **What are the retention periods of data in the system? 6 years**
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? Records are archived. Data will be purged from the system in accordance with Data Retention schedules. Procedures are documented in the Site Security Plan (SSP).**
4. **Is the system using technologies in ways that DOE has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)? No.**
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? No.**
7. **What kinds of information are collected as a function of the monitoring of individuals? None.**
8. **What controls will be used to prevent unauthorized monitoring? N/A**
9. **Under which PA system of records notice does the system operate? N/A**
10. **If the system is being modified, will the PA system of records notice require amendment or revision? N/A**

F. ACCESS TO DATA

1. **Who will have access to the data in the system? Department of Energy and Contract Employees who work on financial assistance funding.**

- 2. How is access to the data by a user determined? They must request access via the system owner.**
- 3. Will users have access to all data on the system or will the user's access be restricted? They will have access to all data.**
- 4. What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access? Local policy which requires users with elevated access to sign a data integrity form. Unauthorized browsing is controlled thru 256 bit encryption using MD5 hash encryption and FDCC complex password standards for DOE level access.**
- 5. Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system? If yes, were PA contract clauses included in their contracts and other regulatory measures addressed? Yes, local policy which requires users with elevated access to sign a data integrity form.**
- 6. Do other systems share data or have access to the data in the system? If yes, explain. Yes, EERE's Corporate Planning System (CPS) receives data from the system via secure data transmission between data stores.**
- 7. Who will be responsible for protecting the privacy rights of the public and employees affected by the interface? System Owner.**
- 8. Will other agencies share data or have access to the data in this system? 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 System Owner, users of the system, and the Information Systems Security Officer (ISSO).**

PIA Approval Signatures

Original copy signed and on file with the DOE Privacy Office.