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Department of Energy
Privacy Impact Assessment

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Name of Project: **Oak Ridge Associated Universities (ORAU)**
                        Science Education Program (SEP) Global Change Education
                        Program (GCEP)
Bureau: **U.S. Department of Energy (DOE)**
Project's Unique ID: 019-60-02-00-01-5000-04 ORISE Application & Data
                        Hosting/Housing (Application Maintenance)

A.   <u>**CONTACT INFORMATION:**</u>

    1) Who is the person completing this document?

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    2) Who is the system owner?

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

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    4) Who is the IT Security Manager who reviewed this document?

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5) Who is the Bureau/Office Privacy Act Officer who reviewed this document?

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B.   SYSTEM APPLICATION/GENERAL INFORMATION:

1) Does this system contain any information about individuals?

Yes.

a. Is this information identifiable to the individual?

Yes.

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

Yes.

c. Is the information about employees?

No.

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

The Oak Ridge Associate Universities (ORAU) Science Education Program (SEP) Applicant and Participant Status System (APSS) is a web-based system that was developed to allow graduate, undergraduate, associate degree students, and college and university faculty to research academic fellowships and scholarships, research experiences, sabbaticals, and internships funded by a wide range of government agencies. These programs are administered by Oak Ridge Associated Universities (ORAU), may of them through the U.S. Department of Energy's Oak Ridge Institute for Science and Education (ORISE).

The on-line catalog allows the student to view the various opportunities available by program name, sponsor, application deadline, or geographic location. In addition, the student can navigate to the programs of interests by selecting a field of interest, a type

of program, or a specific time period. Applicants can access and edit their own information until the application is completed by the student.

3) What legal authority authorizes the purchase or development of this system/application?

The legal authority that authorizes the development of this system is the Energy Policy Act of 2005, amendment of Chapter 19 of the Atomic Energy Act of 1954, section 243, "Scholarship and Fellowship Program," Title 42, United States Code (U.S.C.), Section 7101 *et. seq.*, and 50 U.S.C. 2401 *et. seq.*

C.   DATA in the SYSTEM:

1) What categories of individuals are covered in the system?

Individuals who have applied for the student scholarship or fellowship program.

2) What are the sources of the information in the system?

a. Is the source of the information from the individual or is it taken from another source? If not directly from the individual, then what other source supplies the information?

The source of the information is from the individual to whom it pertains.

b. What Federal agencies are providing data for use in the system?

None.

c. What state and local agencies are providing data for use in the system?

None.

d. From what other third party sources will data be collected?

None.

e. What information will be collected from the employee and the public?

Name, address, telephone number, fax number, electronic mail address, educational information, employment information, and demographic information.

3) Accuracy, Timeliness, and Reliability

a. How will data collected from sources other than DOE records be verified for accuracy?

Information is not obtained from other sources. Information is obtained from the applicant. Accuracy is responsibility of the applicant entering the information.

b. How will data be checked for completeness?

Data fields that are required are validated for input before being sent to the database.

c. Is the data current? What steps or procedures are taken to ensure the data is current and not out-of-date?

Information is provided by the applicant. Therefore, it is determined that the information is current at the time it is provided.

d. Are the data elements described in detail and documented? If yes, what is the name of the document?

The data elements are described in detail and documented. The document which describes the elements is located in the system documentation.

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/public that would not be possible without the new data?

N/A

5) How will the new data be verified for relevance and accuracy?

N/A

6) **If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?**

The data is not being consolidated.

7) **If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access? Explain.**

Processes are not being consolidated.

8) **How will the 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 by the name of the applicant.

9) **What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?**

The sponsor will print an applicant's application and will use the printout during the review process. Only program reviewers will have access to the reports.

10) **What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how individuals can grant consent.)**

All information in the system is voluntary. A disclaimer states that information will be used for the purpose of selecting fellows and administering the program.

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?**

No the system is only operated at one site.

2) **What are the retention periods of data in this system?**

Data retention is in accordance with DOE Administrative Records Schedule 20 "Electronic Records" dated June 2007. The data is removed from the production environment and archived at the end of each reviewing period which is determined by the data owner. Information is available at http://cio.energy.gov/documents/ADM_20.pdf.

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?**

The procedures for disposition of data in the system are defined in DOE Administrative Records Schedule 20 "Electronic Records" dated June 2007. The procedure for disposition of data is that the data is backed up for recovery purposes only onto that month's tape and kept for one year, unless a special request is made by the data owner, to load the data onto an exclusive backup tape and kept for a time to be determined by the data owner. These procedures are documented in the ORAU System documentation. Information is available at http://cio.energy.gov/documents/ADM_20.pdf.

4) **Is the system using technologies in ways that the 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? If yes, explain.**

No

7. **What kinds of information are collected as a function of the monitoring of individuals?**

N/A

8) **What controls will be used to prevent unauthorized monitoring?**

Only users who have the need to know are allowed access.

9) **Under which Privacy Act systems of records notice does the system operate? Provide number and name.**

DOE System Number – 82 – "Grant and Contract Records for Research Projects, Science Education, and Related Activities".

10) If the system is being modified, will the Privacy Act system of records notice require amendment or revision? Explain.

No the system is not being modified.

F. ACCESS TO DATA:

1) Who will have access to the data in the system?

ORAU staff, developers, system administrators, sponsors, and reviewers have access to the data.

2) How is access to the data by a user determined? Are criteria, procedures, controls, and responsibilities regarding access documented?

Users must have a need to know. Access is described in the applications software risk assessment document.

3) Will users have access to all data on the system or will the user's access be restricted? Explain.

Access is role based. An applicant can only see his/her data. Reviewers can see all applicant data.

4) What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access? (Please list processes and training materials)

ORAU has various non-disclosure agreements and cyber security training/guides for proper use of data.

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 Privacy Act contract clauses inserted in their contracts and other regulatory measures addressed?

Yes. Information maintained may be disclosed to ORAU employees in performance of their contract. Individuals provided this information are subject to the same limitations applicable to DOE officers and employees under the Privacy Act, 5 U.S.C. 552a.

Pertinent contract language states that data covered by the Privacy Act may be disclosed to contractors and their officers and employees. Any information that is obtained or viewed shall be on a need-to-know basis. Contractors are required to safeguard all information that they may obtain in accordance with the provisions

of the Privacy Act and the requirements of DOE. The contractor shall ensure that all DOE documents and software processed, and the information contained therein, are protected from unauthorized use and mishandling by assigned personnel.

6) Do other systems share data or have access to the data in the system? If yes, explain.

No.

7) Who will be responsible for protecting the privacy rights of the public and employees affected by the interface?

N/A

8) Will other agencies share data or have access to the data in this system (Federal, State, Local, Other)?

No, other agencies will not share or have access to the data in the system.

9) How will the data be used by the other agency?

N/A

10) Who is responsible for assuring proper use of the data?
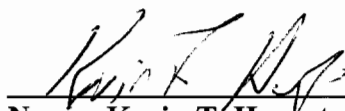
N/A

The Following Officials Have Approved this Document

1) **System Owner**

_____ (Signature) _10-10-07_ (Date)
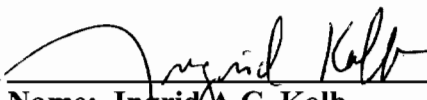Name: Wayne Stevenson
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2) **IT Security Manager**

_____ (Signature) _10·17-07_ (Date

Name: Dennis Lindsey
Cyber Security Program Manager

3) **Privacy Act Officer**

_____ (Signature) _11/8/07_ (Date)
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Director, Office of Information Resources

4) **Senior Agency Official for Privacy**

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Name: Ingrid A.C. Kolb
Director, Office of Management