

**Department of Energy**  
**Privacy Impact Assessment (PIA)**

**Name of Project:** Science Education Program (SEP)  
Applicant and Participant Status System (APSS)  
**Bureau:** U. S. Department of Energy (DOE)  
**Project's Unique ID:** 019-60-02-00-01-5000-04 Oak Ridge Institute for Science and  
Education Application & Data Hosting/Housing (Application Maintenance) – M&O  
**Contract**  
**Date:** 10/17/07

**A. CONTACT INFORMATION:**

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Applicant and Participant reports are produced by SEP staff. SEP staff will use the reports to check for current applicant and participant status or track an applicant's request for research proposals.

**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)?**

Information is provided voluntarily. The user has the ability to opt out.

**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 only operated at this site.

**2) What are the retention periods of data in the 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](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](http://cio.energy.gov/documents/ADM_20.pdf).

**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?**

The system does not have the capability to identify, locate and monitor individuals.

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

**Department of Energy**  
**Privacy Impact Assessment (PIA)**

**Name of Project: Oak Ridge Associated Universities (ORAU) Radiation Emergency Assistance Center/Training Site (REAC/TS)**

**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) – M&O Contract**

**Date: 10/17/07**

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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?<sup>1</sup>**

Yes.

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

Yes.

**c. Is the information about DOE or contractor employees?**

Yes.

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

The REAC/TS Registry System tracks information about worldwide radiation accidents and incidents. The system tracks the logistics of the accident itself such as the location, the radionuclide involved, the number of people exposed. The system also tracks information about the individuals that were exposed such as name, address, index of medical tests and evaluations. The system also tracks the medicine that was given to both treated individuals and to specific sites that request a supply in case of emergency.

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

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<sup>1</sup> "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).

The Homeland Security Act of 2002, Title V – Emergency Preparedness and Response, Section 501 and 506 is the legal authority for the REAC/TS program.

**C. DATA in the SYSTEM:**

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

The system contains information about individuals who have been involved in radiation accidents or incidents.

**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?**

The information is obtained from the individual, physicians, medical and nuclear professionals.

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

DOE.

**c. What Tribal, 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 individual and the public?**

Name, employee identification numbers, social security numbers, home address, home and work telephone numbers, work and medical histories.

**3) Accuracy, Timeliness, and Reliability**

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

Data in the system is provided by the individual and attending medical personnel. It is determined that the information is accurate at the time it is provided.

**b. How will data be checked for completeness?**

Data in the system is provided by the individual and attending medical personnel. It is determined that the information is complete at the time it is provided.

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

The validity of the data is the responsibility of the individual to whom it pertains. It is determined that the information is valid at the time provided.

**d. Are the data elements described in detail and documented?**

Yes – see the REAC/TS Functional Requirements document located on site.

**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?**

N/A

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

N/A

**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.**

Yes, a personal identifier is used to retrieve the data. Data is retrieved by name, social security number or the unique REAC/TS number that is assigned to the individual.

**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 application generates reports on types and frequencies of radiation accidents and incidents. The reports are used for statistical purposes. Access to the reports is limited to REAC/TS staff.

**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)?**

Information is provided on a voluntary basis.

#### **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 only operated at this site.

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

The retention period of the data is unlimited. Data is archived or removed rarely and only when requested by the data owner.

**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?**

There is no retention period. A special request can be 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. Regular backups (for recovery purposes) are performed nightly and these procedures are documented in the ORAU/ORISE System Family Security Plans.

**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?**

The system does not have the capability to identify, locate or monitor individuals.

**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?**

N/A

**9) Under which Privacy Act system of records notice does the system operate?**

<u>DOE System Number</u>	<u>Title</u>
33	Personnel Medical Records
35	Personnel Radiation Exposure Records
71	The U.S. Radiation Accident Registry
72	The DOE Radiation Study Registry
73	The US-DPTA Registry

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

No, the system is not being modified

**F. Access to Data:**

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

ORAU REAC/TS staff, developers, system administrators.

**2) How is access to the data by a user determined?**

Access is described in the application's software risk assessment document.

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



Users have access into the REAC/TS Registry system (full access to all data).

**4) What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?**

ORAU provides cyber security training for proper use of data including “need to know.”

**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 included 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?**

No.

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

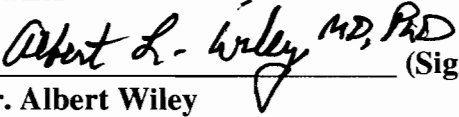
N/A

**10) Who is responsible for assuring proper use of the data?**

N/A

**The Following Officials Have Approved this Document**

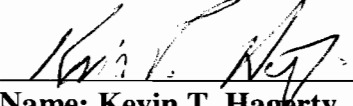
1) System Owner

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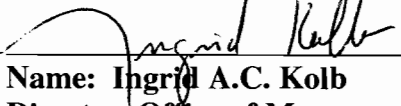
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