

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

**Name of Project:** Oak Ride Associated University (ORAU) Procurement  
Questionnaire Application System (PSPQAS) Supplier  
Profile  
**Bureau:** 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

**A. CONTACT INFORMATION:**

**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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**5) Who is the 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?<sup>1</sup>**

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?**

No.

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

The Procurement Supplier Profile Questionnaire Application System (PSPQAS) provides a formal method for suppliers to introduce themselves to ORAU and provide information relative to their identity and core capabilities. It also provides a repository for ORAU Procurement contract specialists to identify qualified suppliers. Collecting privacy information such as the social security numbers is only needed if the prospective supplier is an individual who does not have a business identifying number (i.e., DUNS number). Collecting this data allows ORAU Procurement to search the “Small Business Administration database (SBA) to ensure the type of business claim (small, woman owned, veteran owned, disabled veteran owned, minority, etc.) is true.

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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).

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

Department of Energy Acquisition Regulation – (DEAR) 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?**

Categories of individuals covered by the system are vendors who supply materials for the execution of the DOE/ORISE contract.

**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 vendor and supplier.

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

None.

**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?**

Information collected from the vendor may include their name, employee identification number, social security number, DUNS number and Supplier's Annual Sales and other procurement related information.

**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 to whom it pertains. 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 to whom it pertains. 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 – the data elements are described and documented in detail in the “Procurement Supplier Profile Conceptual Data Dictionary” and the “Supplier Profile Requirements Document.”

**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 of the vendor, supplier user identification number, and DUNS 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?**

Procurement will print Supplier Profile Questionnaire with answers and will use the printout during supplier processes to assist Procurement in selecting a vendor. Only Procurement will have access to the reports.

**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.

#### **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 data retention is in accordance with National Archives and Records Administration (NARA) General Records Schedule and DOE record schedules Routine Procurement Files (GRS, item 3). Information is available at [http://cio.energy.gov/documents/ADM\\_3\(1\).pdf](http://cio.energy.gov/documents/ADM_3(1).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 disposition of data is in accordance with National Archives and Records Administration (NARA) General Records Schedule and DOE record schedules Routine Procurement Files (GRS, item 3). Information is available at [http://cio.energy.gov/documents/ADM\\_3\(1\).pdf](http://cio.energy.gov/documents/ADM_3(1).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?**

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?**

Presently, there is not a Privacy Act system of records. However, the system is currently being evaluated if a system of records is needed. If it is determined that a Privacy Act system of records is required, one will be published by December 2007.

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

The system is currently being evaluated to determine if a system of records is need. A system of records notice will be published by December 2007.

**F. Access to Data:**

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

Vendors, ORAU Procurement staff, developers, system administrators. Vendors have the capability of entering their own data and have access to their own data.

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

Access is determined by job responsibilities and a need to know.

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

Access is role based. A supplier can only see his or her data. ORAU Procurement can see all supplier data, but cannot update it. However, they can update the status of the supplier.

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

Unauthorized browsing is prevented by only allowing users access that should have access because of job duties and 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**

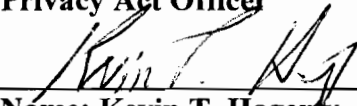
1) System Owner

 (Signature) 10/17/07 (Date)  
John E. Bennett Jr  
ORAU Procurement Director

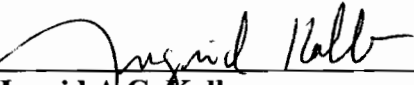
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