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:

1) Who is the person completing this document?

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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?
B. SYSTEM APPLICATION/GENERAL INFORMATION:

1) Does this system contain any information about individuals?
   Yes.
   a. Is this information identifiable to the individual?\(^1\)
      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 Applicant and Participant Status System (APSS) was developed to store, retrieve, and update
   information on individuals who apply for fellowships, scholarships, internships and individuals
   who are interested in conducting research studies on health risks from occupational hazards,
   assess environmental cleanup, and radiation medical emergencies, at Oak Ridge Institute for
   Science and Education (ORISE) for the DOE.

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
   and Fellowship Program,” Title 42, United States Code (U.S.C.), Section 7101 et. seq., and 50
   U.S.C. 2401 et. seq.

\(^1\) "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).
C. DATA in the SYSTEM:

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

The categories of individuals are applicants for fellowship grants or grants to participate in research opportunities.

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 applying for the fellowship grants or applying to participate in research opportunities.

   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?

      Full name, SSN, address, demographics, education, employment, experience, citizenship information, telephone number, fax number, and electronic mail address.

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 data is provided by the individual to whom it pertains. It is determined that the information is current at the time provided.
d. Are the data elements described in detail and documented?

Yes the data elements are described in detail in the system documentation of ORAU’s Applications and Development group.

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?

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 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?
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.

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 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?
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?

DOE - 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?

The system is not being modified or amended.

F. Access to Data:

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

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

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

User names and passwords are given to users who have a legitimate 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?

Access is role based. There are four levels of access. Each role has a different level of access determined by the user's responsibilities within the system.

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

Only those individuals who have a need to know are allowed access. ORAU provides cyber security training 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 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
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