



E-1080

Affects Members Of the Public?	<input checked="" type="checkbox"/>
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Department of Energy
 Privacy Impact Assessment (PIA)

Guidance is provided in the template. See DOE Order 206.1, *Department of Energy Privacy Program, Appendix A, Privacy Impact Assessments*, for requirements and additional guidance for conducting a PIA: <http://www.directives.doe.gov/pdfs/doe/doetext/neword/206/o2061.pdf>

Please complete electronically: no hand-written submissions will be accepted.

This template may not be modified.

MODULE I – PRIVACY NEEDS ASSESSMENT

Date	7/14/2010	
Departmental Element & Site	Office of Energy Efficiency and Renewable Energy DOE Headquarters, Forrestal, BF-094	
Name of Information System or IT Project	EERE Infrastructure - EERE Reviewer Management System	
Exhibit Project UID	Energy Enterprise Services (EES) ITSS Contract	
New PIA <input checked="" type="checkbox"/>		
Update <input type="checkbox"/>		
	Name, Title	Contact Information Phone, Email
System Owner	JoAnn Milliken Senior Advisor	202-586-2480 JoAnn.Milliken@ee.doe.gov
Local Privacy Act Officer	N/A	
Cyber Security Expert reviewing this document (e.g. ISSM, CSSM, ISSO, etc.)	Dennis Bartlett, Cyber Security Program Manager	(202) 586-0874 Dennis.Bartlett@ee.doe.gov



MODULE I – PRIVACY NEEDS ASSESSMENT

Person Completing this Document	David Crouch General Engineer	202-586 -4844 David.Crouch@ee.doe.gov
Purpose of Information System or IT Project	<p>The Reviewer Management System is used by DOE Headquarters to locate individuals with particular subject matter expertise interested in participating in EERE merit reviews as proposal reviewers or panel members.</p> <p>The information is used to help EERE efficiently assemble merit review panels with an appropriate mix of subject matter expertise as needed by the particular mission-directed funding opportunity. Through a consensus process, merit review panels provide recommendations to DOE/EERE and determine which projects are potentially funded.</p>	
Type of Information Collected or Maintained by the System:	<input type="checkbox"/> SSN Social Security number <input type="checkbox"/> Medical & Health Information e.g. blood test results <input type="checkbox"/> Financial Information e.g. credit card number <input type="checkbox"/> Clearance Information e.g. "Q" <input type="checkbox"/> Biometric Information e.g. finger print, retinal scan <input type="checkbox"/> Mother's Maiden Name <input type="checkbox"/> DoB, Place of Birth <input checked="" type="checkbox"/> Employment Information <input type="checkbox"/> Criminal History <input checked="" type="checkbox"/> Name, Phone, Address <input checked="" type="checkbox"/> Other – Please Specify – subject matter expertise	
Has there been any attempt to verify PII does not exist on the system? DOE Order 206.1, <i>Department of Energy Privacy Program</i> , defines PII as any information collected or maintained by the Department about an individual, including but not limited to, education, financial transactions, medical history	<u>NO</u>	



MODULE I – PRIVACY NEEDS ASSESSMENT

<i>and criminal or employment history, and information that can be used to distinguish or trace an individual's identity, such as his/her name, Social Security number, date and place of birth, mother's maiden name, biometric data, and including any other personal information that is linked or linkable to a specific individual.</i>	
If "Yes," what method was used to verify the system did not contain PII? (e.g. system scan)	N/A

Threshold Questions

1. Does system contain (collect and/or maintain), or plan to contain any information about individuals?	<u>YES</u>
2. Is the information in identifiable form?	<u>YES</u>
3. Is the information about individual Members of the Public?	<u>YES</u>
4. Is the information about DOE or contractor employees?	<u>YES</u> <input checked="" type="checkbox"/> Federal Employees <input checked="" type="checkbox"/> Contractor Employees

If the answer to all four (4) Threshold Questions is "No," you may proceed to the signature page of the PIA. Submit the completed PNA with signature page to the CPO.

Module II must be completed for all systems if the answer to any of the four (4) threshold questions is "Yes." All questions must be completed. If appropriate, an answer of N/A may be entered.

The goal of the threshold questions is to legitimately and efficiently determine whether additional assessment is necessary. If there is doubt, it is in the System Owner's best interest to complete Module II.

PIAs affecting Members of the Public are posted on the DOE Privacy website. For this reason, PIAs affecting Members of the Public should be written in plain language and at a high level so they are easily understandable and do not disclose sensitive information.

END OF PRIVACY NEEDS ASSESSMENT



MODULE II – PII SYSTEMS & PROJECTS

AUTHORITY, IMPACT & NOTICE

<p>1. AUTHORITY</p> <p>What specific authorities authorize this system or project, and the associated collection, use, and/or retention of personal information?</p>	<p>Department of Energy Merit Review Guide for Financial Assistance (August 2007) 10 CFR 600.13</p>
<p>2. CONSENT</p> <p>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)?</p>	<p>Participation is voluntary; the Reviewer Management System allows individuals with particular subject matter expertise to express interest in participating in EERE merit reviews.</p>
<p>3. CONTRACTS</p> <p>Are contractors involved with the design, development and maintenance of the system? If yes, was the Privacy Order CRD or Privacy Act clauses included in their contracts?</p>	<p>Yes</p>
<p>4. IMPACT ANALYSIS:</p> <p>How does this project or information system impact privacy?</p>	<p>Individuals may be contacted to optionally participate in one or more merit reviews; automated, periodic reminders may be sent to individuals to update their contact information and subject matter expertise; and if selected for a merit review, individuals will be contacted to supply information supporting specific merit reviews.</p>



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<p>5. SORNs</p> <p>How will the data be retrieved? Can PII be retrieved by an identifier (e.g. name, unique number or symbol)?</p> <p>If yes, explain, and list the identifiers that will be used to retrieve information on the individual.</p>	<p>EERE staff will retrieve data to assemble merit review panels, as determined by program mission funding opportunity announcements, based on reviewer subject matter expertise and educational background.</p>
<p>6. SORNs</p> <p>Has a Privacy Act System of Records Notice (SORN) been published in the <i>Federal Register</i>?</p> <p>If "Yes," provide name of SORN and location in the <i>Federal Register</i>.</p>	<p>NO</p>
<p>7. SORNs</p> <p>If the information system is being modified, will the SORN(s) require amendment or revision?</p>	<p>N/A</p>
<p>DATA SOURCES</p>	
<p>8. What are the sources of information about individuals in the information system or project?</p>	<p>The data will be provided by the individual; the Reviewer Management System allows individuals with particular subject matter expertise to express interest in participating in EERE merit reviews as proposal reviewers or panel members. Individuals can update information as needed or on a periodic basis, when reminded; or opt out of consideration.</p>
<p>9. Will the information system derive new or meta data about an individual from the information collected?</p>	<p>No, the system will not derive new or meta data about individuals.</p>



MODULE II – PII SYSTEMS & PROJECTS

<p>10. Are the data elements described in detail and documented?</p>	<p>Yes, data elements are documented and described in detail.</p>
<p>DATA USE</p>	
<p>11. How will the PII be used?</p>	<p>The information will be used to create merit review panels that align with the needs of particular mission program and funding notice announcements. Panels offer recommendations, based upon individuals subject matter expertise, to DOE/EERE, that determine which project proposals are possibly funded.</p>
<p>12. If the system derives meta data, how will the new or meta data be used?</p> <p>Will the new or meta data be part of an individual's record?</p>	<p>The system does not derive meta-data.</p>
<p>13. With what other agencies or entities will an individual's information be shared?</p>	<p>It is not anticipated to share individual's information with an outside agency or entity. Should particular merit reviews permit reviewers be compensated, contact information will be shared with the appropriate DOE procurement officials for payment processing.</p>
<p>Reports</p>	
<p>14. What kinds of reports are produced about individuals or contain an individual's data?</p>	<p>Reports contain information about subject matter expertise, experience, educational background, and contact information. Reports will be generated to find the appropriate mix for the program's merit review activities.</p>
<p>15. What will be the use of these reports?</p>	<p>The information in reports will be used by DOE/EERE staff to assemble merit review panels for EERE mission programs as determined by funding opportunity announcement needs.</p>



MODULE II – PII SYSTEMS & PROJECTS

16. Who will have access to these reports?

The roles of individuals who will have access to reports are:

- System administrators with rights to add users and set roles.
- Mailers with rights to use the system to send email
- Editors with rights to update reviewer data.
- Approvers with the rights to approve reviewers for particular areas of expertise.
- Certifiers with rights to flag reviewers as certified

Monitoring

17. Will this information system provide the capability to identify, locate, and monitor individuals?

No monitoring capability will be provided.

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

N/A

19. Are controls implemented to prevent unauthorized monitoring of individuals?

No monitoring capability will be provided.

DATA MANAGEMENT & MAINTENANCE

20. How will records about individuals be kept current and verified for accuracy, relevance and completeness? Include PII data collected from sources other than DOE records.

Since data is provided by the individuals, it is determined that the information is accurate at the time it is provided. Individuals can log in at any time to update their contact information and subject matter expertise, or choose to opt out as a future merit reviewer. Also, automated, periodic reminders may be sent to individuals to update their contact information and subject matter expertise within every 2 years or opt out as a future reviewer.

21. If the information system is operated in more than one site, how will consistent use of the information be ensured at all sites?

System is only operated on a single site.



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Retention & Disposition

<p>22. What are the retention periods of data in the information system?</p>	<p>The information is backed up on a daily and weekly basis. Additionally, quarterly backups are performed with the encrypted backup tapes then being rotated off-site on a quarterly basis and archived indefinitely.</p>
<p>23. What are the procedures for disposition of the data at the end of the retention period?</p>	<p>The procedures for records management are documented within DOE Order (O) 243.1, <i>DOE Records Management Program</i>. The EERE Support Team uses BCWipe for sanitization of hard disks on systems that will either be transferred or retired. However, data is retained on encrypted backup tapes indefinitely, including PII. Therefore, there is no end to the retention period.</p>

ACCESS, SAFEGUARDS & SECURITY

<p>24. What controls are in place to protect the data from unauthorized access, modification or use?</p>	<p>The EERE Review Management System has controls in place to prevent unauthorized access, modification and use. For a detailed description of logical access controls in place, please reference the HQ LAN SSP dated September 2009.</p>
<p>25. Who will have access to PII data?</p>	<p>The roles of individuals who will have access to reports containing PII are:</p> <ul style="list-style-type: none"> System administrators with rights to add users and set roles. Mailers with rights to use the system to send email Editors with rights to update reviewer data. Approvers with the rights to approve reviewers for particular areas of expertise. Certifiers with rights to flag reviewers as certified
<p>26. How is access to PII data determined?</p>	<p>Need to access PII data is determined by DOE/EERE mission program need to assemble merit review panels and contact during the merit review process for particular funding opportunity announcements.</p>
<p>27. Do other information systems share data or have access to the data in the system? If yes, explain.</p>	<p>Currently, data is not being shared. Although, it may be internally shared in the future, should a more comprehensive merit review tool become available in DOE/EERE.</p>



MODULE II – PII SYSTEMS & PROJECTS

28. For connecting information systems, is there an Interconnection Security Agreement (ISA) or other agreement between System Owners to ensure the privacy of individuals is protected?

N/A

29. Who is responsible for ensuring the authorized use of personal information?

System Owner
Cyber Security Program Manager

END OF MODULE II

SIGNATURE PAGE

	Signature	Date
PIA Approval Signatures	Original Copy Signed and On File with the DOE Privacy Office	08/24/2010