Affects Members Of the Public?	X

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: **https://www.directives.doe.gov/directives-documents/200-series/0206.1-BOrder/@@images/file**

Please complete form and return via email to Privacy@hq.doe.gov

No hand-written submissions will be accepted.

This template may not be modified.

MODULE I – PRIVACY NEEDS ASSESSMENT

Date	11/8/2023
Departmental Element & Site	Office of Manufacturing and Energy Supply Chans
Name of Information System or IT Project	48C Informational Webinar
Exhibit Project UID	N/A
New PIA X Update ☐	

	Name, Title	Contact Information Phone, Email
System Owner	Sarma Kovvali, Program Manager.	301-250-3903 sarma.kovvali@hq.doe.gov

MODULE I – PRIVACY NEEDS ASSESSMENT

Local Privacy Act Officer	Brooke Dickson	202-287-5786 Brooke.Dickson@hq.doe.gov
Cyber Security Expert reviewing this document (e.g. ISSM, CSSM, ISSO, etc.)	Ken Hunt	202-586-8695 ken.hunt@hq.doe.gov
Person Completing this Document	Rachel Smith	240.252.8854 Rachel.Smith@hq.doe.gov
Purpose of Information System or IT Project	KBC Energy Solutions LLC, a contractor for DOE Manufacturing and Energy Supply Chains (MESC), is hosting an informational webinar on behalf of MESC and has developed a registration link for the webinar. The purpose of the registration link is to collect information on participants to inform program planning for the full application process. A list of the proposed questions is below. The registration information collected will be saved in an excel file on the MESC SharePoint site. Only authorized federal and contractors will have access to the website. The information will be retained per Records Management guidelines. The registration information to be collected is as follows: • Name o First Name o Last Name • Email • Organization • Organization Type o If you selected "Other" above, please elaborate. • City • State • Zip/Post Code • So that we can maximize this webinar's usefulness to the audience: o Are you/your organization considering applying for a 48C tax credit?(y/n/prefer not to say) o Are you planning to submit full application for 48c - Round 1? (y/n/prefer not to say)	

MODULE I – PRIVACY NEEDS ASSESSMENT

	o Is your concept paper encouraged to submit full application for 48c - Round 1? (y/n/prefer not to say) o Which proposed eligible property are you most interested in? (only select 1) (CM, CEM, GHG) • Subscribe: Would you like to subscribe to the U.S. Department of Energy's Office of Manufacturing and Energy Supply Chains newsletter? Note: Your contact information is used to deliver requested updates or to access your subscriber preferences. (y/n/already subscribed)
Type of Information Collected or Maintained by the System:	☐ SSN Social Security number ☐ Medical & Health Information e.g. blood test results ☐ Financial Information e.g. credit card number ☐ Clearance Information e.g. "Q" ☐ Biometric Information e.g. finger print, retinal scan ☐ Mother's Maiden Name ☐ DoB, Place of Birth ☒ Employment Information ☐ Criminal History ☒ Name, Phone, Address ☒ Other – Please Specify This survey also plans to ask the following questions: 1. Are you/your organization considering applying for a 48C tax credit? (y/n/prefer not to say) 2. Are you planning to submit full application for 48c - Round 1? (y/n/prefer not to say)

MODULE I – PRIVACY NEEDS ASSESSMENT

	3. Is your concept paper encouraged to submit full application for 48c - Round 1? (y/n/prefer not to say) 4. Which proposed eligible property are you most interested in? (only select 1) (Critical Materials, Clean Energy Manufacturing, Greenhouse House Gas Emissions Reduction)	

Has there been any attempt to verify PII does not exist on the system? **DOE Order 206.1,** *Department of Energy Privacy Program,* **defines PII as** *any information collected or maintained by the Department about an individual, including but not limited to, education, financial transactions, medical history 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.*	. This is not applicable as PII is contained within the MESC SharePoint system.
If "Yes," what method was used to verify the system did not contain PII? (e.g. system scan)	

Threshold Questions

1. **Does system contain (collect and/or maintain), or plan to contain any information about individuals?**	Yes (name, email, organization).
2. **Is the information in identifiable form?**	Yes.
3. **Is the information about individual Members of the Public?**	Yes.
4. **Is the information about DOE or contractor employees?**	No. ☐ Federal Employees ☐ 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.

MODULE I – PRIVACY NEEDS ASSESSMENT

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

1. AUTHORITY **What specific authorities authorize this system or project, and the associated collection, use, and/or retention of personal information?**	IRS Notice 2023-44 notice provides additional guidance to clarify and modify Notice 2023-18, 2023-10 I.R.B. 508, which established the program under § 48C(e)(1) of the Internal Revenue Code (Code)[1]
2. CONSENT **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)?**	Registration is required to watch the webinar live. However, they can choose to watch the recording of the webinar where no information is collected. The questions related to the 48C application process also offer the option "prefer not to say".

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[1] Unless otherwise specified, all "section" or "§" references are to sections of the Code.

MODULE II – PII SYSTEMS & PROJECTS

3. CONTRACTS **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?**	Yes, KBC is developing the registration form and hosting the webinar. The final data collected will be saved on the MESC SharePoint.
4. IMPACT ANALYSIS: **How does this project or information system impact privacy?**	Data will be saved on MESC SharePoint with appropriate PII protections in place. This information is considered low-impact. The 48C Informational Webinar protects PII and mitigate privacy risk via the following administrative, technical, and physical controls: • Strict access control enforcement based on need-to-know
5. SORNs **How will the data be retrieved? Can PII be retrieved by an identifier (e.g. name, unique number or symbol)?** **If yes, explain, and list the identifiers that will be used to retrieve information on the individual.**	The data will be retrieved through the registration link and saved as an excel file on MESC SharePoint
6. SORNs **Has a Privacy Act System of Records Notice (SORN) been published in the *Federal Register*?** **If "Yes," provide name of SORN and location in the *Federal Register*.**	No.
7. SORNs **If the information system is being modified, will the SORN(s) require amendment or revision?**	N/A. No SORNs require modification.

MODULE II – PII SYSTEMS & PROJECTS

DATA SOURCES

8. What are the sources of information about individuals in the information system or project?	Registration link that contains the questions mentioned in Section 1.
9. Will the information system derive new or meta data about an individual from the information collected?	No.
10. Are the data elements described in detail and documented?	No.

DATA USE

11. How will the PII be used?	To support preparation for 48C full application merit reviews.
12. If the system derives meta data, how will the new or meta data be used? **Will the new or meta data be part of an individual's record?**	N/A.
13. With what other agencies or entities will an individual's information be shared?	Information will not be shared with any other Agencies or individuals that have not been mentioned in this document.

Reports

14. What kinds of reports are produced about individuals or contain an individual's data?	The 48C program team will aggregate the data on # of participants, % of participants planning to submit full applications etc. for internal program purposes, not for dissemination. Individuals will not be identified in the aggregate data.
15. What will be the use of these reports?	The use of the aggregated data is to help prepare full application merit review and design future outreach programs to attract applications.
16. Who will have access to these reports?	Program members and key stakeholders from IRS and treasury.

MODULE II – PII SYSTEMS & PROJECTS

Monitoring

17. Will this information system provide the capability to identify, locate, and monitor individuals?	No, the information collected through the registration will simply be stored in an excel file on SharePoint.
18. What kinds of information are collected as a function of the monitoring of individuals?	The system does not collect any outside information beyond what is asked in the registration form.
19. Are controls implemented to prevent unauthorized monitoring of individuals?	Controls include limited access to the SharePoint file. Yes. The data which contains the registration information of the attendees will be controlled, accessible only to a few authorized team members with password protected file.

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.	Information will be stored in an excel file on MESC SharePoint. It will be static data which will not be updated.
21. If the information system is operated in more than one site, how will consistent use of the information be ensured at all sites?	N/A.

Records Management

22. Identify the record(s).	The only record is an excel file with the information collected from the registration form saved on SharePoint.
23. Identify the specific disposition authority(ies) that correspond to the record(s) noted in no. 22.	The records in this system are unscheduled and must be retained until the records schedule is developed. ☐ Unscheduled ☐ Scheduled *(cite NARA authority(ies) below)*
24. Records Contact	Teri Price (RLO) teri.price@hq.doe.gov

MODULE II – PII SYSTEMS & PROJECTS

ACCESS, SAFEGUARDS & SECURITY

25. What controls are in place to protect the data from unauthorized access, modification or use?	Data will be saved on DOE SharePoint: Webinars File will be password protected and the password only shared those identified in the program with proper PII training.
26. Who will have access to PII data?	DOE employees and contractors (KBC Energy Solutions LLC).
27. How is access to PII data determined?	Access to SharePoint site. Site administrator would decide access to the site. I'll control the access to the file with the PII data, which will be password protected.
28. Do other information systems share data or have access to the data in the system? If yes, explain.	No.
29. 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?	No.
30. Who is responsible for ensuring the authorized use of personal information?	Sarma Kovvali Sarma.Kovvali@hq.doe.gov

END OF MODULE II

SIGNATURE PAGE

	Signature	Date
System Owner	__Sarma Kovvali_____ **(Print Name)** _____ **(Signature)**	_____
Local Privacy Act Officer	_____ **(Print Name)** _____ **(Signature)**	_____
Ken Hunt **Chief Privacy Officer**	_____ **(Print Name)** _____ **(Signature)**	_____

PRIVACY
PROGRAM