Affects Members Of the Public? ☒

Department of Energy

Privacy Impact Assessment (PIA)

MODULE I – PRIVACY NEEDS ASSESSMENT

Date	7 December 2022	
Departmental Element & Site	Office of Science, Office of Information Management Germantown, MD	
Name of Information System or IT Project	Office of Science General Support System (SC-GSS)	
Exhibit Project UID	019-20-02-00-02-1083-00	
New PIA ☐ **Update** ☒	SC-GSS Privacy Impact Assessment	
	Name, Title	**Contact Information Phone, Email**
System Owner	Dr. Vasilios Kountouris System Owner, SC-45.2 Office Of Information Management	301-722-2148 Vasilios.Kountouris@Science.doe.gov
Local Privacy Act Officer	Mimi Bartos	630-252-2041 miriam.bartos@science.doe.gov
Cyber Security Expert reviewing this document (e.g. ISSM, CSSM, ISSO, etc.)	Dr. Richard Cespiva	301-903-2840 Richard.Cespiva@Science.doe.gov

MODULE I – PRIVACY NEEDS ASSESSMENT

Person Completing this Document	Dr. Richard Cespiva	301-903-2840 Richard.Cespiva@Science.doe.gov
Purpose of Information System or IT Project	The Portfolio and Analysis Management System (PAMS) is a web-enabled Business Process Management (BPM) solution. The objective of this BPM solution is to consolidate and streamline all aspects of financial assistance business processes into an integrated, web-based system. This system supports the entire lifecycle of SC funding programs from planning Funding Opportunity Announcements to the closeout of awards. PAMS supports or will support the requirements of a variety of SC program offices and will include the funding of activities in DOE National Laboratories. PAMS interfaces with the Government-wide portal for financial assistance application (Grants.gov), the DOE core procurement (STRIPES, DOE's implementation of the Compusearch PRISM product) and data warehouse (IDW, DOE's implementation of the Oracle Business Intelligence Foundation Suite) systems, and the SC Budget Execution and Formulation Analysis Support Tool (BEFAST).	
Type of Information Collected or Maintained by the System:	□ SSN □ Medical & Health Information ☒ Financial Information □ Clearance Information □ Biometric Information ☒ Mother's Maiden Name ☒ DoB, Place of Birth ☒ Employment Information □ Criminal History ☒ Name, Phone, Address ☒ Other – Please Specify: Grant application, contract proposals, technical reviews by peer reviewer, records of grant and contract awards, financial data, and any other pertinent information needed for the tracking or approval of a grant or contract. Optional demographic data (Gender, race, ethnicity, disability, U.S. citizenship).	

MODULE I – PRIVACY NEEDS ASSESSMENT

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.*	PII exists
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?	YES
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?	YES ☒ Federal Employees ☒ Contractor Employees

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?**	Federal Grant and Cooperative Agreement Act of 1978, Public Law 95-224, 31 USC 6301; DOE Organization Act, section 209, 42 USC 7139; DOE Organization Act, section 102, 42 USC 7112; DOE Organization Act, section 646, 42 USC 7256; EPAct 2005, section 917, 42 USC 16311.
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)?**	All information is provided consensually by authorized external users (i.e., scientists and research administrators) seeking funding. Demographic data (gender, race, ethnicity, disability, citizenship) is optional. Failure to provide demographic data will not affect eligibility for financial awards.
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. Contractors are only involved in the maintenance of the system. Personal information may be disclosed to these contractors and their officers and employees in performance of their contract. Those individuals provided this type of 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 the 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.

MODULE II – PII SYSTEMS & PROJECTS

4. IMPACT ANALYSIS: **How does this project or information system impact privacy?**	PAMS poses a moderate privacy impact. Should PII in the system be compromised, it could cause personal and professional harm to individuals. The potential for privacy harm is mitigated by the presence of largely non-sensitive PII in the system. The System Owner has implemented and tested all baseline security controls appropriate to its FIPS categorization in accordance with the OSC-GSS System Security Plan, Office of Science Cybersecurity Protection Plan, and DOE Directives to protect privacy as contemplated by the Fair Information Practice Principles (FIPPs). Network access controls, application controls, and authentication controls are in place to ensure data quality. PII is individual-provided to further individual participation and transparency. PII is limited to clearly defined business purposes conducted by authorized users. Only PII necessary for business purposes is collected and maintained, and the system does not collect more PII than what is needed for specified business purposes in furtherance of data minimization. Access to data is based on unique user id/password combinations and role-based access control. Data is maintained in the system for as long as the system is operational (active). Backup tapes are maintained for seven years. Federal National Archives and Records Administration (NARA) and DOE Records Disposition Schedule and General Records Schedule 1.2 regulations are followed. Data is purged via a secured deletion process. Any physical files will be overwritten in a secure manner (per NIST standards).
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.**	DOE users with appropriate access can search and retrieve people, institution, proposal, and award data using a personal identifier (for example, Principal Investigator name, contact information, expertise, DOE program area). Records will not be retrievable based on demographic data.

MODULE II – PII SYSTEMS & PROJECTS	
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.*	DOE-82**,** Grant and Contract Records for Research Projects, Science Education, and Related Activities, 74 FR 1082
7. SORNs If the information system is being modified, will the SORN(s) require amendment or revision?	N/A
DATA SOURCES	
8. What are the sources of information about individuals in the information system or project?	Information comes from the DOE proposals, reviews, and reports that are submitted to the government by authorized external users (i.e., scientists and research administrators).
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?	Yes, the data elements are documented in a data dictionary.
DATA USE	
11. How will the PII be used?	Reports about people, institutions, awards, and proposals can be produced with PII. These reports are for internal use and for individuals to get funding for their projects. DOE employees and contractors that have a need to know based on their job responsibilities have access to these reports.

MODULE II – PII SYSTEMS & PROJECTS	
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?**	The system does not derive meta data.
13. With what other agencies or entities will an individual's information be shared?	None
REPORTS	
14. What kinds of reports are produced about individuals or contain an individual's data?	Reports about people, institutions, proposals, and awards.
15. What will be the use of these reports?	These reports are for internal use, e.g., evaluating and selecting applicants, determining funding for projects, and tracking awards and proposals.
16. Who will have access to these reports?	DOE employees and contractors that have a need to know based on their job responsibilities have access to these reports.
MONITORING	
17. Will this information system provide the capability to identify, locate, and monitor individuals?	No.
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?	Network access controls, application controls, and authentication controls are in place to prevent unauthorized use of PII.
DATA MANAGEMENT & MAINTENANCE	

MODULE II – PII SYSTEMS & PROJECTS	
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.	Data comes from DOE proposal records. Data is verified when it is entered into the system. The system is used daily by SC grants and contracts. Data goes through workflow approval processes to ensure accuracy, relevance, and completeness. Individual data is self-reported by authorized external users to ensure accuracy.
21. If the information system is operated in more than one site, how will consistent use of the information be ensured at all sites?	The information system is not operated in more than one site.
RECORDS MANAGEMENT	
22. Identify the record(s).	Data is maintained in the system for as long as the system is operational (active). Personal information is maintained for only so long as necessary, and is managed and disposed of in accordance with applicable DOE records management schedules (General Records Schedule 1.2, Grant and Cooperative Agreement Records).
23. Identify the specific disposition authority(ies) that correspond to the record(s) noted in no. 22.	□ Unscheduled X Scheduled *(cite NARA authority(ies) below)* Federal National Archives and Records Administration (NARA) (General Records Schedule 1.2, Grant and Cooperative Agreement Records) and DOE Records Disposition Schedule regulations are followed. Data is purged via a secured deletion process. Any physical files will be overwritten in a secure manner (per NIST standards).
24. Records Contact	Mimi Bartos 630-252-2041 miriam.bartos@science.doe.gov
ACCESS, SAFEGUARDS & SECURITY	

MODULE II – PII SYSTEMS & PROJECTS	
25. What controls are in place to protect the data from unauthorized access, modification or use?	The System Owner has implemented and tested all baseline security controls appropriate to its FIPS categorization in accordance with the Office of Science CSPP, DOE Directives, and NIST guidance. The system was certified and accredited 3/20/2015. Network access controls, application controls, and authentication are in place. Access to data is based on unique user id/password combinations and role-based access controls. PAMS is accessible for DOE employees and contractors only via the DOE Office of Science internal network and remote access with two-factor authentication. A government computer warning is displayed and must be agreed to upon login.
26. Who will have access to PII data?	The system is accessible for DOE employees and contractors. Access to data is based on unique user id/password combinations and role-based access control.
27. How is access to PII data determined?	Access to the data is strictly limited to trained employees who have a need to know based on their roles and responsibilities.
28. Do other information systems share data or have access to the data in the system? If yes, explain.	. PAMS has interactions with three other systems that are used to support DOE SC business processes pivotal to the management of grants for the SC Programs Offices and SBIR/STTR Office. PAMS shares the least amount of data possible with these systems to accomplish SC grants management: 1. Grants.gov: Official U.S. government site for listing and searching for Federal funding opportunities and submission of applications / proposals in response to FOAs. 2. STRIPES: Strategic Integrated Procurement Enterprise System – utilized by DOE for acquisition planning, FOA document generation, Receipt of electronic proposals and applications, evaluation and award processing, as well as award closeout. 3. IDW: Integrated Data Warehouse – to extract the final award information created by STRIPES.

MODULE II – PII SYSTEMS & PROJECTS	
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?	Yes. There are three ISAs as specified below: 1. An Interconnection Security Agreement dated on 03-04-2022 between Assistant Secretary for Financial Resources (ASFR) Grants.gov and Department of Energy, Office of Science Portfolio Analysis and Management System (PAMS). 2. DOE Data Interface Agreement dated 05-02-2019 between Strategic Integrated Procurement Enterprise System (STRIPES) And Portfolio and Analysis Management System (PAMS). 3. DOE Data Interface Agreement dated 04-20-2022 between Portfolio Analysis and Management System (PAMS) and IDW/iPortal.
30. Who is responsible for ensuring the authorized use of personal information?	System owner and administrators.
END OF MODULE II	

SIGNATURE PAGE

	Signature	Date
System Owner	**(Print Name)** Vasilios G. Kountouris Digitally signed by Vasilios G. Kountouris Date: 2023.02.06 15:06:32 -05'00' **(Signature)**	
Local Privacy Act Officer	**(Print Name)** Miriam Bartos Digitally signed by Miriam Bartos Date: 2023.02.06 12:49:09 -06'00' **(Signature)**	
Ken Hunt **Chief Privacy Officer**	**(Print Name)** William K. Hunt Digitally signed by William K. Hunt Date: 2023.02.06 13:32:04 -05'00' **(Signature)**	