



PRIVACY IMPACT ASSESSMENT: LPO – EFAD
PIA Template Version 3 – May, 2009

Affects Members Of the Public? Mark if Applicable w/ an X

Or 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	11/7/2013
Departmental Element & Site	DOE Headquarters, Forrestal, 4A-087
Name of Information System or IT Project	EFAD
Exhibit Project UID	
New PIA <input type="checkbox"/> Update <input checked="" type="checkbox"/>	E-FADS

	Name, Title	Contact Information Phone, Email
System Owner	Salim Khoury Manager, Information Systems & Technology	(202) 287-6884 Salim.Khoury@hq.doe.gov
Local Privacy Act Officer		N/A
Cyber Security Expert reviewing this	Michael Robertson	(301) 903-8028



MODULE I – PRIVACY NEEDS ASSESSMENT

document (e.g. ISSM, CSSM, ISSO, etc.)	Supervisor IM-613, Cyber Support Division	Michael.Robertson@hq.doe.gov
Person Completing this Document	Salim Khoury Manager, Information Systems & Technology	(202) 287-6884 Salim.Khoury@hq.doe.gov
Purpose of Information System or IT Project	The Application Portal (EFAD) system allows companies to access a secure web based application process to complete DOE loan or grant applications for solicitations offered by the Loan Programs Office.	
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 type="checkbox"/> Employment Information <input type="checkbox"/> Criminal History <input checked="" type="checkbox"/> Name, Phone, Address <input checked="" type="checkbox"/> Other – Business Address, Project Information	
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	YES	



MODULE I – PRIVACY NEEDS ASSESSMENT

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.

If "Yes," what method was used to verify the system did not contain PII? (e.g. system scan)

Database is currently empty;
N/A at this time.

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?

NO

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.

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>Title XVII of the Energy Policy Act of 2005, as amended, 42 U.S.C. §§16511-16516 and Part 609 under Chapter II of Title 10 of the Code of Federal Regulations.</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>Submission of an Application in response to the Loan Programs Office Advanced Fossil Energy Projects Solicitation is entirely voluntary. Pursuant to the Solicitation the information is provided for the specific purpose of allowing LPO to analyze the merits of the Project described in the Application. There will be no other use of the information that is collected, and therefore, no need for an opportunity for an individual to consent to any use other than the specific use for which the information is voluntarily provided.</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>The contract is a delivery order (# DE-DT0002463) under the contractors GSA schedule contract, GS-23F-0014X. The contract contains FAR 52.224-1 and -2 (PRIVACY ACT NOTIFICATION (APR 1984) AND PRIVACY ACT (APR 1984) respectively). Additionally, Nondisclosure/Conflicts of Interest documents are signed by each contractor employee and are incorporated in DE-DT0002463 as Attachment 4. The NDA/COI also contains Privacy Act information in the first section.</p>
<p>4. IMPACT ANALYSIS:</p> <p>How does this project or information system impact privacy?</p>	<p>Information is voluntarily provided into the system and for informational use only.</p>



MODULE II – PII SYSTEMS & PROJECTS

<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>The data will be retrieved by the Project name assigned by the applicant. Applicant will provide a "short name" or other Identifier that will allow for easy identification of the Project or facility. Documents uploaded through the application portal will be renamed automatically to conform to the naming convention described in the Solicitation. An example of the naming convention is: ProjectABC.I.D.Technical Information.1,2,3,4,5,6,7,8.V1.pdf. No information is retrievable by an individual's name or by a unique Identifier associated with any individual.</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>N/A</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>Individual-provided.</p>
<p>9. Will the information system derive new or meta data about an individual from the information collected?</p>	<p>NO.</p>
<p>10. Are the data elements described in detail and documented?</p>	<p>A database schema exists that shows describes the elements and shows the data relationships.</p>



MODULE II – PII SYSTEMS & PROJECTS

DATA USE

11. How will the PII be used?	DOE will use this information for background check purposes and, with respect to any key staff providing credit support to the venture, for credit history and/or background check verification purposes.
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?	N/A
Reports	
14. What kinds of reports are produced about individuals or contain an individual's data?	N/A
15. What will be the use of these reports?	N/A
16. Who will have access to these reports?	N/A
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



MODULE II – PII SYSTEMS & PROJECTS

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

YES.

User access controls (authentication) and network level security.

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.

The following certification must be included with each Application: The undersigned certifies that the data and information submitted and the representations made in this Application and any attachments to this Application are true and correct, to the best of the Applicant's knowledge and belief after due diligence, and that the Applicant has not omitted any material facts. Once this certification is received records on Individuals 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

Site operated at one site only.

Retention & Disposition

22. What are the retention periods of data in the Information system?

Denied and Withdrawn are 10 years

Closed are 5 years after payment or bankruptcy.

Otherwise, indefinite.

23. What are the procedures for disposition of the data at the end of the retention period?

Data is deleted.

ACCESS, SAFEGUARDS & SECURITY

24. 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 Senior DOE Management PCSP and DOE Directives. The system is included in the general DC&SS enclave certification and accreditation program.

25. Who will have access to PII data?

Loan Processors

26. How is access to PII data determined?

Limited by division on a need to know basis only.



MODULE II – PII SYSTEMS & PROJECTS

27. Do other information systems share data or have access to the data in the system? If yes, explain.	NO.
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?	Division Directors

END OF MODULE II



SIGNATURE PAGE

	Signature	Date
System Owner	<u>Salim Khoury</u> (Print Name) <u>[Signature]</u> (Signature)	<u>11/7/13</u>
Local Privacy Act Officer	<u></u> (Print Name) <u>N/A</u> (Signature)	<u></u>
Jerry Hanley Chief Privacy Officer	<u>[Signature]</u>	<u>11/07/13</u>
[Redacted]	<u></u>	<u></u>