



PRIVACY IMPACT ASSESSMENT (PIA)

For the

DoDEA 2071.3 "Research Study Request"

Department of Defense Education Activity

SECTION 1: IS A PIA REQUIRED?

a. Will this Department of Defense (DoD) information system or electronic collection of information (referred to as an "electronic collection" for the purpose of this form) collect, maintain, use, and/or disseminate PII about members of the public, Federal personnel, contractors or foreign nationals employed at U.S. military facilities internationally? Choose one option from the choices below. (Choose (3) for foreign nationals).

- (1) Yes, from members of the general public.
- (2) Yes, from Federal personnel* and/or Federal contractors.
- (3) Yes, from both members of the general public and Federal personnel and/or Federal contractors.
- (4) No

* "Federal personnel" are referred to in the DoD IT Portfolio Repository (DITPR) as "Federal employees."

b. If "No," ensure that DITPR or the authoritative database that updates DITPR is annotated for the reason(s) why a PIA is not required. If the DoD information system or electronic collection is not in DITPR, ensure that the reason(s) are recorded in appropriate documentation.

c. If "Yes," then a PIA is required. Proceed to Section 2.

SECTION 2: PIA SUMMARY INFORMATION

a. Why is this PIA being created or updated? Choose one:

- New DoD Information System
- Existing DoD Information System
- Significantly Modified DoD Information System
- New Electronic Collection
- Existing Electronic Collection

b. Is this DoD information system registered in the DITPR or the DoD Secret Internet Protocol Router Network (SIPRNET) IT Registry?

- Yes, DITPR Enter DITPR System Identification Number
- Yes, SIPRNET Enter SIPRNET Identification Number
- No

c. Does this DoD information system have an IT investment Unique Project Identifier (UPI), required by section 53 of Office of Management and Budget (OMB) Circular A-11?

- Yes
- No

If "Yes," enter UPI

If unsure, consult the Component IT Budget Point of Contact to obtain the UPI.

d. Does this DoD information system or electronic collection require a Privacy Act System of Records Notice (SORN)?

A Privacy Act SORN is required if the information system or electronic collection contains information about U.S. citizens or lawful permanent U.S. residents that is retrieved by name or other unique identifier. PIA and Privacy Act SORN information should be consistent.

- Yes
- No

If "Yes," enter Privacy Act SORN Identifier

DoDEA SORN 27

DoD Component-assigned designator, not the Federal Register number.
Consult the Component Privacy Office for additional information or
access DoD Privacy Act SORNs at: <http://www.defenselink.mil/privacy/notices/>

or

Date of submission for approval to Defense Privacy Office

Consult the Component Privacy Office for this date.

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g. Summary of DoD information system or electronic collection. Answers to these questions should be consistent with security guidelines for release of information to the public.

(1) Describe the purpose of this DoD information system or electronic collection and briefly describe the types of personal information about individuals collected in the system.

The mission of the human research protection program is to foster and oversee research and development activities by promoting policies and procedures that facilitate timely and effective reviews of research and ensuring that approved research is conducted in accordance with applicable rules and ethical guidelines to protect the rights and welfare of the participants, including service members, employees, and their families. The purpose of this system is to track individual researchers to ensure that everyone engaged in the performance of research at the DoD member institutions is properly trained and qualified. Personally identifiable information (PII) that is collected includes:
Name
Address
Phone numbers
Personal E-mail address
Employment information
Education information
Information will be collected from and about any category of individuals that uses this system to submit a research proposal.

(2) Briefly describe the privacy risks associated with the PII collected and how these risks are addressed to safeguard privacy.

Potential mishandling of PII is low. The privacy risks associated with the PII collected are unauthorized access, inaccurate information entered into the application/form, and unauthorized disclosure of PII.
Safeguards:
DoDEA has a mandatory requirement, tracked by itself, for all individuals with access to the system to complete Department of Defense (DoD) Information Assurance (IA) training as well as Privacy Act training. System access is monitored by system administrators and routinely checked for requirements of access. All users of the system are required to justify their access via their supervisor. Security Safeguards are in place to mitigate the risks. A dedicated IA team addresses security posture of data center and the application that resides within. The application is hosted in a secure, access controlled facility, and staffed with experienced system administrators and IA personnel who have the appropriate security clearances. All personnel are required to obtain and maintain Common Access Cards (CAC) accounts and to adhere to the security requirements. Access to servers is provided on a need-to-know basis and to authorized authenticated personnel only. Defense-in-depth security layers, including but not limited to, Firewall, Host Bases Security System (HBSS), Intrusion Detection System.

h. With whom will the PII be shared through data exchange, both within your DoD Component and outside your Component (e.g., other DoD Components, Federal Agencies)? Indicate all that apply.

Within the DoD Component.

Specify.

Other DoD Components.

Specify.

Other Federal Agencies.

Specify.

State and Local Agencies.

Specify.

Contractor (Enter name and describe the language in the contract that safeguards PII.)

Specify.

Other (e.g., commercial providers, colleges).

Specify.

i. Do individuals have the opportunity to object to the collection of their PII?

Yes **No**

(1) If "Yes," describe method by which individuals can object to the collection of PII.

Individuals can object by not submitting requests for approval to engage in or to conduct research. Submission of PII in the system is voluntary. However, failure to provide the PII will result in the individual not being able to conduct research involving DoDEA.

(2) If "No," state the reason why individuals cannot object.

j. Do individuals have the opportunity to consent to the specific uses of their PII?

Yes **No**

(1) If "Yes," describe the method by which individuals can give or withhold their consent.

(2) If "No," state the reason why individuals cannot give or withhold their consent.

PII is collected in the system to permit identification, tracking and oversight of authorized research procedures and to track the individual researchers and reviewers involved in the process. The purpose of