



## PRIVACY IMPACT ASSESSMENT (PIA)

For the

Science, Mathematics, and Research for Transformation (SMART) Defense Education Program
Office of the Secretary of Defense (OSD)-Assistant Secretary of Defense for Research and Engineering (ASD/R&E)

### **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

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.

**e. Does this DoD information system or electronic collection have an OMB Control Number?**

Contact the Component Information Management Control Officer or DoD Clearance Officer for this information.

This number indicates OMB approval to collect data from 10 or more members of the public in a 12-month period regardless of form or format.

**Yes**

**Enter OMB Control Number**

0704-0466

**Enter Expiration Date**

Package in progress

**No**

**f. Authority to collect information. A Federal law, Executive Order of the President (EO), or DoD requirement must authorize the collection and maintenance of a system of records.**

(1) If this system has a Privacy Act SORN, the authorities in this PIA and the existing Privacy Act SORN should be the same.

(2) Cite the authority for this DoD information system or electronic collection to collect, use, maintain and/or disseminate PII. (If multiple authorities are cited, provide all that apply.)

(a) Whenever possible, cite the specific provisions of the statute and/or EO that authorizes the operation of the system and the collection of PII.

(b) If a specific statute or EO does not exist, determine if an indirect statutory authority can be cited. An indirect authority may be cited if the authority requires the operation or administration of a program, the execution of which will require the collection and maintenance of a system of records.

(c) DoD Components can use their general statutory grants of authority ("internal housekeeping") as the primary authority. The requirement, directive, or instruction implementing the statute within the DoD Component should be identified.

5 U.S.C. 3304, Competitive Service, et seq.; 20 U.S.C. 17, National Defense Education Program, as amended  
10 U.S.C. 2192a, Science, Mathematics, and Research for Transformation (SMART) Defense Education Program  
E.O. 9397 (SSN), as amended

**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 purpose of this DoD information system is to enable SMART officials to select qualified applicants to be awarded SMART scholarships and monitor participant progress and status through the program. The system is also used as a management tool for statistical analysis, tracking, reporting, evaluating program effectiveness and conducting research. Information stored about SMART applicants and participants include full name and any other names used, Social Security Number (SSN) (including truncated versions of the SSN), home and mailing addresses; home and cell phone numbers; and school and alternate e-mail addresses.

Additional information collected in this system includes SMART Program identification number, resumes and/or curricula vitae, publications, U.S. Citizenship, Selective Service registration status, birth date, employment status, state and country of birth; employment status, race/ethnicity, gender, marital status, veterans preference, information on academic background, and program information such as academic status, assessment test scores, copies of transcripts, financial and medical (including disability) information, spousal and child information, projected and actual graduation dates, service commitment start and end dates and projected and actual award amounts.

SMART Program support staff enters other program information unique to each participant that includes projected and actual service commitment start and end dates, projected and actual award amounts, and security clearance status.

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

**PRIVACY RISKS (Opportunity to Object/Consent and Notification):** Individuals provide information voluntarily. There are no known dangers in providing notice of the collection or allowing an individual to object/consent. Individuals are provided a Privacy Act Statement at the time of data collection and can choose not to provide the requested information.

The PII collected is maintained in controlled areas accessible only to authorized personnel to prevent the dissemination of PII to unauthorized individuals, thereby ensuring the privacy of the SMART participants. These areas are restricted to personnel with a valid requirement and authorization to enter/access. Physical entry is restricted by the use of the physical controls listed in Section 3.d.(1). Electronic access is limited by the technical and administrative controls listed in Section 3.d.(2) and 3.d.(3). Back-up data are stored in locked rooms. The computing systems comply with the DoD Information Assurance Certification and Accreditation Process (DIACAP) and/or National Institute of Standards and Technology (NIST) Special Publication 800-53, "Management, Operational and Technical Security Controls for Federal Information Systems" and FIPS-199, "Standards for Security Categorization of Federal Information and Information Systems."

**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. ASD(R&E) Research Directorate, Defense Technical Information Center (DTIC), Naval Postgraduate School (NPS)

**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.

The SMART Program Office requires an applicant's PII to evaluate applications and award SMART scholarships. The Privacy Act Statement on the SMART application portal contains the following verbiage: "Submission of the information requested on the application is voluntary. Omission of any particular item not necessary to establish eligibility will not preclude the application review, although failure to provide full and complete information needed to evaluate all of the merits of the application may reduce the possibility of receiving an award. In order to determine the degree to which members of diverse sections of the eligible population are aware of/apply for this program, completion of the demographic fields on the application relating to gender, ethnicity, and race, is requested but voluntary; omission of any demographic field information will not affect award consideration. Applicants will be considered for award of scholarships based on merit and without regard to race, color, religion, national origin, gender, or age. My contact information may be used to inform me of additional scholarship/fellowship opportunities."

In addition, during the SMART application process, applicants have the option to check a box which reads: "I agree that my contact information may be shared with other DoD organizations for the purpose of receiving information about other opportunities such as research experiences, scholarships, and fellowships."

(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.

The SMART Scholarship Program Privacy Act Statement must be signed by all applicants to whom scholarship awards have been offered. There is also a "Release and License to Use Image, Name, and/or Voice" to obtain permission from individuals to use their image or visual likeness, name, and voice in publications and/or other productions related to the SMART Program.

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

k. What information is provided to an individual when asked to provide PII data? Indicate all that apply.

- Privacy Act Statement       Privacy Advisory  
 Other       None

Describe each applicable format.

A Privacy Act Statement is provided when an applicant accesses the SMART application instructions via the SMART application portal managed by the American Society for Engineering Education. The statement reads as follows:  
"Science, Mathematics, and Research for Transformation (SMART) Defense Education Program recipients are awarded under the authority of Section 2192a of Title 10, United States Code. Information requested on application forms and progress reports is solicited under this authority. The application information may be disclosed to reviewers and assistants as part of the SMART selection process for evaluation and selection of qualified applicants. Information provided in the applications and scholars' progress reports may be disclosed to academic institutions attended by applicants and scholars and to the Department of Defense (DoD) to provide or obtain data regarding the applicant review process, award decisions, or the administration of awards. Aggregated data based on application materials may be used in management reports designed to evaluate the direction and progress of the program as a whole and for reporting within the DoD and the Federal government. Attribution of specific data to individual applicants will be avoided, whenever possible. Scholarship application information may be shared with DoD personnel, for the purposes of receiving information about internship/permanent employment or other opportunities. A list of scholarship awardees may be published.

Submission of the information requested on the application is voluntary. Omission of any particular item not necessary to establish eligibility will not preclude the application review, although failure to provide full and complete information needed to evaluate all of the merits of the application may reduce the possibility of receiving an award. In order to determine the degree to which members of diverse sections of the eligible population are aware of and apply for this program, completion of the demographic fields on the application relating to gender, ethnicity, and race, is requested, but voluntary; omission of any demographic field information will not affect award consideration. Applicants will be considered for award of scholarships based on merit and without regard to race,

color, religion, national origin, gender, or age."

**NOTE:**

**Sections 1 and 2 above are to be posted to the Component's Web site. Posting of these Sections indicates that the PIA has been reviewed to ensure that appropriate safeguards are in place to protect privacy.**

**A Component may restrict the publication of Sections 1 and/or 2 if they contain information that would reveal sensitive information or raise security concerns.**

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