

DEPARTMENT OF DEFENSE  
Office of the Secretary of Defense  
Narrative Statement on a Modified System of Records  
Under the Privacy Act of 1974

1. System name and number: Science, Mathematics, and Research for Transformation (SMART) Information Management System, DUSDA 14.

2. Nature of proposed modifications to the system: The SMART Scholarship for Service Program hereafter the SMART program requires a competitive application process. Each year applicants apply for the program on line beginning in August at <http://smartscholarship.org>. The application process closes in December. Information is required so that the application may be evaluated for compliance with statutory eligibility requirements, academic merit, and compatibility with DoD workforce needs. In order to properly manage all the requirements for this program the SMART Information Management Systems (SIMS) was developed by Logistic Management Institute (LMI). The primary use of the SIMS database is to serve as a centralized management system which collects and maintains information pertaining to SMART Scholars. Records may also be used for statistical analysis, tracking, reporting, evaluating program effectiveness, conducting research, and case and business management. Data may also be used to respond to mandated reporting requirements.

The modifications to this notice include the system location, system manager(s) and address, routine uses, notification procedures, record access procedures, and contesting records.

3. Authority for the maintenance of the system: 5 U.S.C. 3304, Competitive service, examinations; 10 U.S.C. 2192a, Science, Mathematics, and Research for Transformation (SMART) Defense Education Program; 20 U.S.C. Chapter 17, National Defense Education Program; DoD Instruction 1400.25, Volume 410, DoD Civilian Personnel Management System: Training, Education, and Professional Development; and E.O. 9397 (SSN), as amended.

4. Agency's evaluation on the probable or potential effects on the privacy of individuals: The Under Secretary for Research and Engineering viewed the safeguards established for the system to ensure they are compliant with DoD requirements and are appropriate to the sensitivity of the information stored within the system.

5. Routine use compatibility: In addition to those disclosures generally permitted under 5 U.S.C. § 552a(b) of the Privacy Act of 1974, as amended, the records contained herein may specifically be disclosed outside the Department of Defense as a routine use pursuant to § 552a(b)(3) as follows:

Routine use a is compatible with the purpose of the collection as it allows the contractors working on a contract for DoD, to accomplish an agency function related to this system of records.

Routine use b is compatible with the purpose of the collection as it allows the sharing of applicants and participants academic reports to the appropriate academic institutions.

Routine use c is compatible with the purpose as to aid in the collection of outstanding debts owed to the Federal government, typically to provide an incentive for debtors to repay delinquent Federal government debts by making these debts part of their credit records.

Routine uses d through h are standard routine uses commonly listed in DoD and other Federal agency System of Records Notices.

Routine uses i and j are in response to the Office of Management and Budget (OMB) requirement in OMB M-17-12 to respond appropriately to a breach of personally identifiable information in this system of records or, as appropriate, to assist another Federal agency or entity in its response to a breach.

6. OMB public information collection requirements:

OMB collection required: Yes

OMB Control Number (if approved): 0704-0466

Expiration Date: July 31, 2019

Provide titles of any information collection requests (e.g., forms and number, surveys, etc.) contained in the systems of records:

SMART Award Length Change Approval (DD3067-1)

SMART Educational Work Plan (DD3067-2)

SMART Foreign Travel Notification (DD3067-3)

SMART Internship Report for Recruitment Participants (DD3067-4)

SMART Media Release (DD3067-5)

SMART Participant Information Verification (DD3067-6)

SMART Phase 1 Annual Report (DD3067-7)

SMART Recruitment Internship Request (DD3067-8)

SMART Recruitment Site Visit Request (DD3067-9)

SMART Retention Summer Schedule (DD3067-10)

SMART Service Agreement Amendment Request (DD3067-11)

SMART Scholarship-for-Service Program Service Agreement (DD3067-12)

SMART Site Visit Report for Recruitment Participants (DD3067-13)

SMART Notice of Withdrawal (DD3067-14)

SMART Revised Degree Completion Plan (DD3067-15)

If collecting on members of the public and no OMB approval is required, state the applicable exception(s): N/A.

**Information requested by DPCLTD, not submitted to OMB:**

7. Name of IT system and DITPR Number (state NONE if paper records only): Science, Mathematics, and Research for Transformation (SMART) Information Management System

(SIMS) is a web based application hosted on the Logistics Management Institute (LMI) Unclassified External Net.

Additionally, SMART Program data is contained on a system maintained and located in the Mark Center in Alexandria, Virginia 22350-1700 DITPR Number #1779, Mark Center unclassified Backbone.

8. Is the system, in whole or in part, being maintained, by a contractor? Yes.

**Billing Code:**

DEPARTMENT OF DEFENSE  
Office of the Secretary of Defense

**[Docket ID:**

Privacy Act of 1974; System of Records

**AGENCY:** Office of the Secretary of Defense, DoD.

**ACTION:** Notice to modify a System of Records.

**SUMMARY:** The Office of the Secretary of Defense proposes to modify a system of records titled, "Science, Mathematics, and Research for Transformation (SMART) Information Management System, DUSDA 14". This system of records enables the SMART program officials to select qualified scholarship applicants and monitor their progress through the program.

**DATES:** Comments will be accepted on or before **[INSERT 30 DAYS FROM DATE OF PUBLICATION IN THE FEDERAL REGISTER]**. This proposed action will be effective the date following the end of the comment period unless comments are received which result in a contrary determination.

**ADDRESSES:** You may submit comments, identified by docket number and title, by any of the following methods:

\* Federal Rulemaking Portal: <http://www.regulations.gov>.  
Follow the instructions for submitting comments.

\* Mail: Department of Defense, Office of the Chief Management Officer,  
Directorate for Oversight and Compliance, 4800 Mark Center Drive, Mailbox #24, Suite  
08D09B, Alexandria, VA 22350-1700.

Instructions: All submissions received must include the agency name and docket number for this Federal Register document. The general policy for comments and other submissions from members of the public is to make these submissions available for public viewing on the Internet at <http://www.regulations.gov> as they are received without change, including any personal identifiers or contact information.

**FOR FURTHER INFORMATION CONTACT:** Mrs. Luz D. Ortiz, Chief, Records, Privacy and Declassification Division (RPD2), 1155 Defense Pentagon, Washington, D.C. 20301-1155, or by phone at (571) 372-0478.

**SUPPLEMENTARY INFORMATION:** This update reflects considerable administrative changes that in sum warrant a modification to the system of records notice. Additionally, the system location, system manager(s) and address, routine uses, notification procedures, record access procedures, and contesting record procedures, have been updated to ensure the information is accurate and current. The information collected consists of applications submitted by members of the general public and current DoD personnel who actively choose to become involved in the SMART Program and thus become subject to information collection. The

applications include information on academic records, community and volunteer activities, letters of recommendations from faculty and community leaders, a list of publications, work experience, certification of citizenship and personal contact information. This information is necessary to evaluate and rank each candidate's credentials for awarding scholarships and determining whether the candidate meets specific DoD facility workforce needs. If selected by the SMART Program additional information will be collected such as but not limited to educational work plans, transcripts, internship report and degree completion report.

The Office of the Secretary of Defense notices for systems of records subject to the Privacy Act of 1974, as amended, have been published in the Federal Register and are available from the address in **FOR FURTHER INFORMATION CONTACT** or at the Defense Privacy, Civil Liberties, and Transparency Division website at <http://dpcl.d.defense.gov/>

The proposed systems reports, as required by of the Privacy Act, as amended, were submitted on (INSERT DATE), 2018, to the House Committee on Oversight and Government Reform, the Senate Committee on Homeland Security and Governmental Affairs, and the Office of Management and Budget (OMB) pursuant to Section 6 to OMB Circular No. A-108, "Federal Agency Responsibilities for Review, Reporting, and Publication under the Privacy Act," revised December 23, 2016 (December 23, 2016, 81 FR 94424).

Dated:

Aaron Siegel,  
OSD Federal Register Liaison Officer, Department of Defense.

**SYSTEM NAME AND NUMBER:** Science, Mathematics, and Research for Transformation (SMART) Information Management System, DUSDA 14.

**SECURITY CLASSIFICATION:** Unclassified.

**SYSTEM LOCATION:** Logistics Management Institute (LMI), Ashburn Data Center, Ashburn, VA 20147-6011.

LMI San Antonio Office, 1777 NE Interstate 410 Loop #808, San Antonio, TX 78217-0000.

LMI Tyson's Office, 7940 Jones Branch Drive Tysons, VA 22102-3381.

Scholarship America, One Scholarship Way, St. Peter, MN 56082-1693.

Mark Center, 4800 Mark Center Drive, Alexandria, Virginia 22350—1700.

**SYSTEM MANAGER(S) AND ADDRESS:** Program Manager, SMART Scholarship for Service Program, 4800 Mark Center Drive, Alexandria, VA 22350-3600.

[OSD.SMART@mail.mil](mailto:OSD.SMART@mail.mil), 571-372-6535.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:** 5 U.S.C. 3304, Competitive service, examinations; 10 U.S.C. 2192a, Science, Mathematics, and Research for Transformation (SMART) Defense Education Program; 20 U.S.C. 17, National Defense Education Program; DoD Instruction 1400.25, Volume 410, DoD Civilian Personnel Management System: Training, Education, and Professional Development; and E.O. 9397 (SSN), as amended.

**PURPOSE(S):** 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.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:** Applicants and participants of the Science, Mathematics, and Research for Transformation (SMART) Scholarship for Service Program.

**CATEGORIES OF RECORDS IN THE SYSTEM:** Information includes full name and any other names used, Social Security Number (SSN), home and school mailing addresses, home and cell phone numbers, school and alternate e-mail addresses.

Additional information collected may include 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, race/ethnicity, gender, security clearance status, veterans preference, academic status, assessment test scores, copies of transcripts, bank account numbers, bank routing numbers, Individualized

Education Program (IEP) or special accommodations testing requirements, projected and actual graduation dates, and projected and actual award amounts.

**RECORD SOURCE CATEGORIES:** Information is received from the individual and SMART Program support staff.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to those disclosures generally permitted under 5 U.S.C. § 552a(b) of the Privacy Act of 1974, as amended, the records contained herein may specifically be disclosed outside the Department of Defense as a routine use pursuant to § 552a(b)(3) as follows:

- a. To contractors working on a contract for DoD, when necessary to accomplish an agency function related to this system of records. Contractor's provided information under this routine use are subject to the same Privacy Act requirements and limitations on disclosure as applicable to DoD offices and employees.
- b. To academic institutions for the purpose of providing progress reports for applicants and participants.
- c. To consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. § 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. § 3701(a)(3)). The purpose of this disclosure is to aid in the collection of outstanding debts owed to the Federal government, typically to provide an incentive for debtors to repay delinquent Federal government debts by making these debts part of their credit records.
- d. To the appropriate Federal, State, local, territorial, tribal, foreign, or international law enforcement authority or other appropriate entity where a record, either alone or in conjunction with other information, indicates a violation or potential violation of law, whether criminal, civil, or regulatory in nature.
- e. To any component of the Department of Justice for the purpose of representing the DoD, or its components, officers, employees, or members in pending or potential litigation to which the record is pertinent.
- f. In an appropriate proceeding before a court, grand jury, or administrative or adjudicative body or official, when the DoD or other Agency representing the DoD determines that the records are relevant and necessary to the proceeding; or in an appropriate proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding.
- g. To the National Archives and Records Administration for the purpose of records management inspections conducted under the authority of 44 U.S.C. §§ 2904 and 2906.

- h. To a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of, and at the request of, the individual who is the subject of the record.
- i. To appropriate agencies, entities, and persons when (1) the DoD suspects or has confirmed that there has been a breach of the system of records; (2) the DoD has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the DoD (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the DoD's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm.
- j. To another Federal agency or Federal entity, when the DoD determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:** Paper and electronic storage media.

**POLICIES AND PRACTICES FOR RETRIEVABILITY OF RECORDS:** Records are retrieved by name and SMART Program identification number.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:** Participant information will be deleted/destroyed 6 years and 3 months after completion of service commitment, or upon repayment of funds. Records of individuals not chosen for participation in the program will be deleted when 3 years old. DoD research and engineering facility data will be deleted/destroyed upon termination of affiliation.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:** Access to records is permission-granted based on the role of the individual (need-to-know) and further restricted to individuals who require the data in the performance of official duties. Electronic records are maintained on servers in controlled areas accessible only to authorized personnel. Access to storage areas is restricted to personnel with a valid requirement and authorization to enter. Hardcopy records are kept in locked safes. Physical entry is restricted by the use of one or more of the following: security guards, identification badges, cipher locks, electronic locks, combination locks, key card access and closed circuit TV. Technical controls consist of user identification, passwords, intrusion detection systems, encryption, External Certificate Authority, firewalls, Virtual Private Network (VPN), DoD Public Key Infrastructure certificates, and Common Access



Cards (CACs). Administrative controls consist of periodic security audits, regular monitoring of users' security practices, methods to ensure only authorized personnel have access to Personally Identifiable Information (PII), Personnel who have access to SMART PII take annual Information Assurance and Privacy Act training, as required by the DoD.

**RECORD ACCESS PROCEDURES:** Individuals seeking access to information about themselves contained in this system should address written inquiries to the Office of the Secretary of Defense/Joint Staff, Freedom of Information Act Requester Service Center, 1155 Defense Pentagon, Washington, DC 20301-1155.

Signed, written requests should contain the individual's full name and SMART Program identification number, and the name and number of this system of records notice.

In addition, the requester must provide either a notarized statement or an unsworn declaration made in accordance with 28 U.S.C. 1746, in the following format:

If executed outside the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date). (Signature)."

If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date). (Signature)."

**CONTESTING RECORD PROCEDURES:** The Department of Defense rules for accessing records, contesting contents, and appealing initial agency determinations are contained in 32 CFR part 310; or may be obtained from the system manager.

**NOTIFICATION PROCEDURE:** Individuals seeking to determine whether this system of records contains information about themselves may address their inquiries to the Director, SMART Scholarship for Service Program, 4800 Mark Center Drive, Alexandria, VA 22350-3600.

Signed, written requests should contain the individual's full name and SMART Program identification number.

In addition, the requester must provide either a notarized statement or an unsworn declaration made in accordance with 28 U.S.C. 1746, in the following format:

If executed outside the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date). (Signature)."

If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date). (Signature)."

**EXEMPTIONS CLAIMED FOR THE SYSTEM:** None.

**HISTORY:** October 20, 2016, 81 FR 72577.