



Privacy Impact Assessment

For

Institute of Education Sciences Principal Investigator/Application File and
Associated Records (Applicant Notification System)

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1. System Information. Describe the system - include system name, system acronym, and a description of the system, to include scope, purpose and major functions.

The official name of this new system of records is “Institute of Education Sciences Principal Investigator/Application File and Associated Records.” The system covers a database and paper files containing information on individuals who are principal investigators and who have requested grant support or received grant support, or both, from the Institute, either individually or through an academic institution or other organization.

The purpose of this system is to assist Institute of Education Sciences (Institute) staff members, who manage the peer review process, by systematically assembling and maintaining files that are necessary and appropriate to the scientific peer review of grant applications submitted to the Institute. The electronic database that is a part of this system (called the “Institute of Education Sciences Applicant Notification System,” or “ANS”) will also enable applicants and principal investigators who have requested grant support from the Institute to electronically access information related to the scientific peer review of their applications.

2. Legal Authority. Cite the legal authority to collect and use this data. What specific legal authorities, arrangements, and/or agreements regulate the collection of information?

This new system of records is being implemented in support of the Institute’s programs for funding research, which are authorized under the Education Sciences Reform Act of 2002 (ESRA), 20 U.S.C. 9501 et seq.

3. Characterization of the Information. What elements of personally identifiable information (PII) are collected and maintained by the system (e.g., name, social security number, date of birth, address, phone number)? What are the sources of information (e.g., student, teacher, employee, university)? How is the information collected (website, paper form, on-line form)? Is the information used to link or cross-reference multiple databases?

Personally identifiable information about principal investigators will be maintained in the system; this includes names, titles, institutional or organizational affiliations, professional contact information (including email addresses, addresses, and telephone numbers), employment histories, professional experiences, academic credentials, and current and pending support from other grant programs. All PII included within the system will be drawn from principal investigators’ research grant applications, which are submitted electronically either directly by a principal investigator or (more commonly) by an academic institution or other organization that employs a principal investigator. The information collected is not used to link or cross-reference multiple databases.

4. Why is the information collected? How is this information necessary to the mission of the program, or contributes to a necessary agency activity? Given the amount and any type of data collected, discuss the privacy risks (internally and/or externally) identified and how they were mitigated.



The information that will be included in the system is collected as part of the research grant application process, and is necessary to support the Institute's program for funding education research. The new system is expected to increase the efficiency of the scientific peer review process.

This proposed new system of records will have minimal effect on the privacy of individuals. No information other than that which is currently collected or generated as part of the grant application submission and review process will be included in the system. Access to information in the system will be strictly controlled. Individuals with access to the system will include: authorized staff members of the Institute and its contractor who have responsibilities related to the review of research grant applications; peer reviewers, who will have access limited to applications currently under review by the panel on which they are serving; and principal investigators and authorized representatives of applicant organizations, who will only have access to information about applications that they have submitted.

- 5. Social Security Number (SSN).** If an SSN is collected and used, describe the purpose of the collection, the type of use, and any disclosures. Also specify any alternatives that you considered, and why the alternative was not selected. If system collects SSN, the PIA will require a signature by the Assistant Secretary or designee. If no SSN is collected, no signature is required.

Applicants for Institute grant support are not required to provide SSNs as part of the application process, and SSNs are therefore not included among the PII to be included in the system.

- 6. Uses of the Information.** What is the intended use of the information? How will the information be used? Describe all internal and/or external uses of the information. What types of methods are used to analyze the data? Explain how the information is used, if the system uses commercial information, publicly available information, or information from other Federal agency databases.

There are two primary uses for the information that will be collected and maintained in this system. The first purpose is to assist Institute staff, who manage the peer review process, by systematically assembling and maintaining files that are necessary and appropriate to the scientific peer review of grant applications submitted to the Institute. As part of this scientific peer review process, principal investigators' applications included in the system will also be available to peer reviewers for their opinions and evaluations of those applications. In evaluating applications, it is necessary for peer reviewers to consider information about principal investigators, such as professional experiences, academic credentials, and current and pending support from other grant programs.

The second use, specific to the Applicant Notification System (ANS), is to enable applicants and principal investigators who have requested grant support from the Institute to electronically access the reviews and scores for their applications following the peer review of those applications for scientific merit.

- 7. Internal Sharing and Disclosure.** With which internal ED organizations will the information be shared? What information is shared? For what purpose is the information shared?



Internal sharing and disclosure will be limited only to authorized Institute staff members who have responsibilities related to the review of research grant applications. There are no plans for any additional sharing of information from the system internally within ED.

- 8. External Sharing and Disclosure. With what external entity will the information be shared (e.g., another agency for a specified programmatic purpose)? What information is shared? For what purpose is the information shared? How is the information shared outside of the Department? Is the sharing pursuant to a Computer Matching Agreement (CMA), Memorandum of Understanding or other type of approved sharing agreement with another agency?**

External sharing and disclosure will be limited to individuals directly involved with the peer review of research grant applications that have been submitted to the Institute. These include authorized staff members of the Institute's contractor for the peer review of research grant applications; peer reviewers, who will have access limited to applications currently under review by the panel on which they are serving; and principal investigators and authorized representatives of applicant organizations, who will only have access to information about applications that they have submitted. There are no plans for any additional sharing of information from the system with any external entities, and there are no plans to engage in a computer matching program with the information in this system.

- 9. Notice. Is notice provided to the individual prior to collection of their information (e.g., a posted Privacy Notice)? What opportunities do individuals have to decline to provide information (where providing the information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how individuals can grant consent?**

There is no Privacy Notice associated with this system of records. All PII included within the system will be drawn from principal investigators' research grant applications to the Institute, which are submitted electronically either directly by a principal investigator or (more commonly) by an academic institution or other organization that employs a principal investigator.

- 10. Web Addresses. List the web addresses (known or planned) that have a Privacy Notice.**

N/A

- 11. Security. What administrative, technical, and physical security safeguards are in place to protect the PII? Examples include: monitoring, auditing, authentication, firewalls, etc. Has a C&A been completed? Is the system compliant with any federal security requirements?**

The Department's paper and CD-ROM records are stored in locked metal filing cabinets or in a secured room, with access limited to personnel whose duties require access. All physical access to the Department's sites is controlled and monitored by security personnel who check each individual entering the building for an employee or visitor badge.

The computer system employed by the Institute's contractor for the peer review of research grant applications offers a high degree of resistance to tampering and circumvention. The



system enforces assigned authorizations by controlling access based on the individual's role in the project. Each individual's access is determined by the system administrator in conjunction with the Institute and other administrative staff. These rights are re-assessed periodically by the application administrator.

The system has share-level and file-level security utilizing New Technology File System (NTFS), which is built into the Windows 2008 operating system. The system administrator grants or denies access to users or groups of users at the folder or file level. Several system groups are established within the Windows server to permit fine-grained control of user access to project folders. No other contractor users or groups of users will be given access to these folders or files.

The system's servers are located at the Savvis DC3 data center and are protected by Savvis' procedures governing physical access to the servers. Access to sensitive areas is controlled by means of key cards, ID badges, security guards, biometric hand scanners, man traps equipped with key cards, key-locked equipment cages, and continuous video surveillance.

12. Privacy Act System of Records. Is a system of records being created or altered under the Privacy Act, 5 U.S.C. 552a? Is this a Department-wide or Federal Government-wide SORN? If a SORN already exists, what is the SORN Number?

The system is covered under the system of records notice entitled "Institute of Education Sciences Principal Investigator/Application File and Associated Records", dated October 12, 2012, 71 FR 62226-62228.

13. Records Retention and Disposition. Is there a records retention and disposition schedule approved by the National Archives and Records Administration (NARA) for the records created by the system development lifecycle AND for the data collected? If yes – provide records schedule number:

Records are maintained and disposed of in accordance with the Department's Records Disposition Schedule for Discretionary Grant File Records and Related Records (ED 254A.1).