



Privacy Impact Assessment

For

Personnel Development Program Data Collection System (DCS)

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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 Personnel Development Program Data Collection System (DCS) is the new system name for the system formerly named, The Special Education—Individual Reporting on Regulatory Compliance Related to the Personnel Development Program’s Service Obligation and the Government Performance and Results Act of 1993 (GPRA). The DCS contains all records of the former system, on individuals who are recipients of scholarships (scholars) from grants awarded to institutions of higher education (IHEs) and other eligible entities by the Office of Special Education Programs’ (OSEP) Personnel Development Program to Improve Services and Results for Children with Disabilities Program (Personnel Development Program). The DCS, a web-based data collection system, collects data from OSEP grantees, scholars, and employers to track the eligible employment of scholars who have received funding from Personnel Development Program (PDP) grants, until their service obligations are fulfilled or they are referred to the U. S. Department of Education’s (ED, or the Department) Debt and Payment Management Group (DPMG) for repayment of part or all of the funding received.

The DCS also collects project-specific performance data from grantees. Reports generated are used by OSEP to document information on the characteristics of scholars^{1,2} supported in these training programs and the outcomes of the programs (program completion, employment in the area of training, etc.). Collection of these data is critical in assessing project and program performance and compliance with applicable laws and regulations, such as the Government Performance and Results Act of 1993 (GPRA).

The Office of Indian Education (OIE), Office of Elementary and Secondary Education, also uses the DCS to collect data for its OIE Professional Development Program.

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?

The system is authorized by section 4 of the Government Performance and Results Act of 1993 (GPRA), Section 4. Pub. L. 103-62, the Individuals with Disabilities Education Act (IDEA), 20 U.S.C. 1400 *et seq.*, and specifically—

- For grants awarded in fiscal year (FY) 2006 and any year thereafter, the regulations published on June 5, 2006 implementing section 662(h) of IDEA (see 34 CFR part 304) apply, including the requirement that the Secretary track the service obligations of scholarship recipients;
- For grants awarded in FY 2005, the “Additional Requirements” section of the Personnel

¹ For the Personnel Development Program, the term “scholar” means an individual pursuing a degree, license, endorsement or certification related to special education, related services, or early intervention services and who receives scholarship assistance under section 662 of IDEA (see 34 CFR 304.3(g)).

² “Obligee” is a term that is used by OSEP, and it applies to the scholar when the scholar exits the program by completion or prior to completion. For purposes of this document, “scholar” is used to mean both those enrolled in the program and those who have exited the program.



Preparation To Improve Services and Results for Children With Disabilities—Combined Priority for Personnel Preparation and Preparation of Leadership Personnel notice (the “notice”), published in the Federal Register on March 25, 2005 apply, including the requirement that the Secretary track the service obligations of scholarship recipients; and

- For grants awarded in FY 2004, or earlier, the version of the regulations published on December 9, 1999 implementing section 673(h) of the IDEA, (see 34 CFR part 304) that was in effect at that time apply, including the requirement that grantees track the service obligations of scholarship recipients.

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?

Sources of information are grantees, the scholars, and employers of the scholars.

The system consists of records about scholars who receive scholarships under the Personnel Development Program. Information in this system will include the following for each scholar: name, date of birth, social security number (SSN), personal mailing address, personal phone numbers, financial account information, legal documents, personal email address, education records, employment status, and place of employment. This information is provided by the IHE and the scholar. Employers will be asked to verify the employment information provided by the scholar. All information from grants awarded in FY 2005 and any year thereafter is collected on-line through a secure website using the Personnel Development Program Data Collection System (DCS).

For scholars receiving funds from grants awarded in FY 2004 or earlier, OSEP receives this information about scholars from IHEs and other eligible entities when scholars have exited a training program supported with funds through the Personnel Development Program, or, in tracking the scholars’ employment, the grantees determine that scholars are not fulfilling their service obligations. OSEP reports these scholars who are required to repay part or all of the funding received to the Debt and Payment Management Group (DPMG) in the Office of the Chief Financial Officer (OCFO). Beginning in September 2014, the DCS will receive this information about scholars from grantees when scholars have exited a training program supported with funds through the Personnel Development Program, or, in tracking the scholars’ employment, the grantees determine that scholars are not fulfilling their service obligations. The DCS will report these scholars who are required to repay part or all of the funding received to the DPMG.

The information in this system (place of employment only) is used to cross-reference with the Department’s Common Core of Data System, to determine if the scholar’s employment after program completion is in a high-need school. The Office of Management and Budget (OMB) has requested that we identify those scholars who are employed in high need schools.



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 is necessary for three reasons. First, data from all three sources (grantees, scholars, and employers) are necessary to determine if OSEP scholars are fulfilling the terms of their service obligation requirements. Second, performance data are collected from OSEP grantees for project monitoring. And finally, data from these three sources are necessary to assess the performance of the PDP program on its Government Performance and Results Act (GPRA) measures.

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.

This system collects SSNs. Information is collected to ensure that those who receive scholarships from the Personnel Development Program fulfill a service obligation of two years for every year of funding received or repay part or all of the funding received from the grantee. SSN and birth dates are required if scholars were reported for repayment to the Department's Debt and Payment Management Group (DPMG). Both the DPMG and Treasury require SSNs to confirm identity and to provide to the U. S. Treasury for collection purposes should a scholar default on payment. There are no alternatives possible for this purpose.

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.

Information is used to monitor compliance by scholars in meeting their service obligation/payback agreements. When scholars elect or are referred for payback, information is transferred from DCS to DPMG.

Descriptive statistical methods are used to compile data for the evaluation of the Personnel Development Program performance measures. Data from the Institute of Education Science's (IES) Common Core Data System is used in conjunction with data collected by the DCS to calculate results for program performance measures relating to the percentage of completers employed in high need schools.

Information from the Department's grants database, G-5, is used to pre-populate fields of the Web-based data collection system to decrease the burden for grantees.

No commercial information or publicly available information is used.



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?

For grants awarded in FY 2004 or earlier, collection of information from grantees is limited to identifying information about scholars, their service obligation, and the amount of their scholarship. When grantees have determined that scholars will not fulfill their obligation through service and must instead repay some or all of the scholarship they received, the grantees are required to forward this information to DCS for processing to DPMG.

The information for grants awarded for FY 2005 and after will be collected from grantees, scholars, and their employers through the DCS, a Web-based data collection system implemented by a contractor of the Department, Education Policy International (EPI) and Westat, the contractor's partner. Through this system, information will be collected from grantees that relates to tracking scholars' enrollment, employment and fulfillment of the terms of the service obligation, and evaluating progress on the performance measures for the Personnel Development Program, scholars, and the scholars' employers. When the Department determines scholars will not fulfill their service obligation and must instead repay some or all of the scholarship they received, the Department will send applicable information to the Department's DPMG in OCFO. Aggregate information is also used for performance measurement reporting and project monitoring.

Per OMB, data may be made available to the Department's Institute of Education Sciences (IES) for the purpose of program evaluation; however, no PII will be shared as part of program evaluation data sharing. Data compiled without PII may also be shared with ED officials upon request for program oversight purposes.

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?

Each scholar signs a Service Obligation Pre-Scholarship Agreement when enrolled in the grant-funded program. By signing the agreement the scholar demonstrates their understanding that a service or cash payback will be required after graduation or upon exiting the program. Should the scholar default on a repayment plan or be non-responsive to the Department's request for repayment, scholar information is forwarded by DPMG to Treasury for collections.

The Department may disclose information contained in a record in this system of records under the routine uses listed in this system of records notice without the consent of the individual if disclosure is compatible with the purposes for which the record was collected. These disclosures may be made on a case-by-case basis, or if the Department has complied with the computer matching requirements of the Privacy Act, under a computer matching agreement.

The routine uses are:

- Program Purposes
- Disclosure in the Course of Responding to Breach of Data



- Contract Disclosure
- Disclosure for Use by Other Law Enforcement Agencies
- Enforcement Disclosure
- Litigation and Alternative Dispute Resolution (ADR) Disclosure
- Disclosure to U. S. Department of Justice (DOJ)
- Adjudicative Disclosure
- Disclosure to Parties, Counsel, Representatives, or Witnesses
- Freedom of Information Act (FOIA) and Privacy Act Advice Disclosure
- Disclosure to DOJ
- Congressional member Disclosure.

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?

As authorized by IDEA and subsequent requirements and regulations, scholars must sign a Service Obligation Pre-Scholarship Agreement, which includes information and resources to ensure that they understand their responsibility for completing a two-year service obligation for every year they receive a scholarship. In addition, they must provide their contact information, date of birth and social security number prior to receiving a scholarship from a Personnel Development Program grant.

The DCS Web site includes the required Privacy Notice. In addition, users must acknowledge the terms of use prior to logging into the Web site.

10. Web Addresses.

List the web addresses (known or planned) that have a Privacy Notice.

<https://pdp.ed.gov>

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?

A Security Authorization (C&A) was completed, and the system is compliant with Federal security requirements. The DCS, a secure, online system, has had extensive security testing and meets all security requirements for a moderate level system. The system received an authorization to operate on February 28, 2014. The information is secured according to the requirements found in Department of Education Departmental Handbook OCIO-01, *Handbook for Information Assurance Security Policy*; Department of Education Departmental Directive OM:5-01, *Contractor Employee Personnel Security Screenings*; and other applicable Department of Education policy and guidance documents. The system will comply with IT security requirements in the Federal Information Security Management Act (FISMA)



www.csrc.nist.gov/sec-cert/index.html , Office of Management and Budget (OMB) Circulars www.whitehouse.gov/omb/circulars/index.html, and the National Institute of Standards and Technology (NIST) standards and guidance (www.nist.gov).

The DCS is monitored continuously by the OSEP COR, the OSERS's Information System Security Officer (ISSO), and by the contractor. Security scans are conducted and provided to the OSER's ISSO for submission into the Operational Vulnerability Management Solution (OVMS) for OCIO review at least quarterly, and more often if needed. All vulnerabilities will be identified, documented and resolved in accordance with Federal requirements.

Privacy risks are ameliorated by careful control of the data. Beginning in September 2014, DCS will maintain records of information about scholars who received funds from grants awarded in FY 2004 and earlier. These records will be maintained in locked file cabinets located within locked offices protected by a security system at the contractor's location: 1600 Research Boulevard, Rockville, MD. The DCS maintains electronic records with information about scholars who received funds from grants awarded in FY 2005 and thereafter. Electronic information is secured on the system through the use of access controls, personnel security awareness and training, and regular auditing of information and information management processes. All users are properly identified and authorized for access, are made aware of the rules, and agree to abide by them as stated. In addition, security is maintained through carefully managed control of system changes, appropriate contingency planning, handling, and testing, and by ensuring that any incident is handled expeditiously. Additionally, the system is protected through proper maintenance with controlled regulation of the operating environment and extensive evaluation of information management risks.

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 Special Education—Individual Reporting on Regulatory Compliance Related to the Personnel Development Program's Service Obligation and the Government Performance and Results Act of 1993 (GPRA), SORN 18-16-04, 73 FR 63453-63457, dated October 24, 2008. This existing system of records is being revised to reflect a new contractor, Educational Policy Institute, LLC, a new system name, and the merging of two electronic data bases into one, merged database. When that occurs, this PIA will be updated as needed.

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:

The records contained in this system will be maintained and disposed of in accordance with the records retention and disposition authority approved by the National Archives and Records Administration (NARA). DCS manages records in accordance with the following records schedule: "Program Management Files," Schedule Locator 066. The NARA disposition authority is N1-441-10-1.