National Science Foundation

eJacket
Privacy Impact Assessment

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Revision

Revision Number	Author	Date	Description
1.0	P. Rafat D. Holliday	June 10, 2009	Updated the PIA template
2.0	R. Czapla D. Holliday	November 13, 2009	Updated PIA information Updated cover page by changing date to 1/25/2010 and version number to 2.0
2.0	F Handac	January 2010	Reviewed and updated
2.0	F. Wenger	August 2011	Reviewed and updated
2.0	A. McCarthy	February 2014	Reviewed and updated
2.1	A. McCarthy	May 2015	Reviewed and updated
2.2	A. McCarthy	March 2016	Reviewed and updated
2.3	A. McCarthy	March 2017	Reviewed and updated
2.4	A. McCarthy	May 2018	Reviewed and updated

Privacy Impact Assessment Form

1. CONTACT INFORMATION

a. Project Manager/System Owner:
- System Owner: **Peggy Duong**, Office of Information and Resource Management, Division of Information Systems, 703-292-4326

2. GENERAL SYSTEM INFORMATION

a. Name of System:
- Electronic Jacket (eJacket) https://www.eJacket.nsf.gov/ej/login.jsp

b. Description of System or Electronic Collection of Information:
- The eJacket system was developed by DIS to provide NSF staff with a single, web-based interface. This interface electronically processes proposals from receipt in FastLane through Division Director Concurrence. eJacket is a core component for both consolidating multiple grant applications and implementing business process improvements and provides NSF program staff with the capability to manage their programs and proposals via a modern web-based platform. eJacket includes automated role-based workflow capability to support all Award and non-Award proposal actions.

c. What is the purpose of the System or Electronic Collection of Information?
- eJacket supports the Foundation-wide transition to the Next Generation e-Business capabilities that DIS will continue to implement. eJacket provides NSF staff, such as Division Directors, Program Officers, Administrative Officers, and Support Staff with a web-based capability to perform many essential business functions related to proposal and award processing.

d. Requested Operational Date?
- eJacket has been fully operational since June 17, 2002.

e. Does this collection create a new Privacy Act System or is this information collection covered by an existing Privacy Act System? If so, what is the name of the current Privacy Act System?
- The eJacket system is covered under the following existing Privacy Act System of Records Notices (SORNs):
  - NSF-50: Principal Investigator/Proposal File and Associated Records
  - NSF-51: Reviewer/Proposal File and Associated Records
  - NSF-12: Fellowships and Other Awards

f. What specific legal authorities, arrangements, and/or agreements require the collection of this information?
- NSF 08-1: The Proposal and Award Policies and Procedures Guide
  - Grant Proposal Guide

  - Award & Administration Guide
- National Science Foundation Act of 1950, as amended (42 USC 1861-75)
- The Privacy Act of 1974, as Amended, 5 U.S.C.§552 a
- Title 5, Chapter III, Part 1320, Controlling Paperwork Burdens on the Public
- OMB Control Number 3145-0058
- OMB Control Number 3145-0023
- The Proposal and Award Manual (PAM) and the Office of General Counsel (OGC) require the collection of this information.

3. DATA IN THE SYSTEM

1. What data is to be collected?
   - eJacket utilizes information from internal NSF databases to include the FastLane database. Proposal and award related information is processed by eJacket via the following areas of functionality: electronic correspondence, proposal administration/management, review processing, budget, recommendation processing, administrative review, electronic sign-off and administration of post award activities.

2. What are the sources of the data?
   - eJacket interfaces with iTRAK, FastLane, , Integrated Panel System, NSF Proposal, Principle Investigator, and Reviewer System (PARS), Awards System, MyNSF and FastLane Internal Applications.

3. What technologies will be used to collect the data?
   - eJacket collects information from internal NSF databases.

4. Does a personal identifier retrieve the data?
   - Users with appropriate access to eJacket can search and retrieve proposal and project report data using a personal identifier (i.e., PI name, PI ID, etc.) within search fields.

4. ATTRIBUTES OF THE DATA (USE AND ACCURACY)

1. Describe the uses of the data:
   - eJacket is used to administer NSF post-awards and proposals.

2. Does the system analyze data to assist users in identifying previously unknown areas of note, concern or pattern?
   - No, eJacket does not create new data, although it allows authorized users to appropriately code and process proposals, and administer post award activities.

3. How will the data collected from individuals or derived by the system be checked for accuracy?
   - eJacket utilizes information from internal NSF databases, which allows external users (PIs, Reviewers, Panelists, etc.) to update appropriate contact information and keep data current.
   - Proposal file update functionality allows appropriate external users to update proposal files under specific conditions.

- Internal users can view information on-line and make corrections to specific types of data, if needed (with appropriate authority, under specific conditions). This capability provides the opportunity to correct inaccurate information, when needed.

5. SHARING PRACTICES

1. Will the data be shared with any internal or external organizations?
   - eJacket interfaces with iTRAK, FastLane, , Integrated Panel System, NSF Proposal, Principal Investigator, and Reviewer System (PARS), Awards System, MyNSF, and FastLane Internal Applications. Information from eJacket is shared with external organizations through written agreements consistent with Privacy Act uses.

2. How is the data transmitted or disclosed to the internal or external organization?
   - eJacket uses Hypertext Transfer Protocol Secure (HTTPS), a secure communication protocol.

3. How is the shared data secured by external recipients?
   - External recipients are not provided and do not have access to eJacket information except as provided by the Privacy Act System of Records Notice and the Routine Uses Contained therein. Only publicly available data from eJacket does not need to be secured. Non-public information is shared through written agreement in which the external recipient agrees to protect the shared information.

6. NOTICE TO INDIVIDUALS TO DECLINE/CONSENT USE

1. Was notice provided to the different individuals prior to collection of data?
   - eJacket users receive a System Use notification presented at Network login

2. Do individuals have the opportunity and/or right to decline to provide data?
   - Yes

3. Do individuals have the right to consent to particular uses of the data?
   - Yes

7. ACCESS TO DATA (ADMINISTRATIVE AND TECHNICAL CONTROLS)

1. Is the data secured in accordance with FISMA requirements?
   - Yes, eJacket has an Authority to Operate according to FISMA requirements.

2. Which user group(s) will have access to the system?
   - NSF users with LAN IDs have access to the system.

3. How is the access to the data by a user determined? Are procedures documented?
   - User access to data in eJacket is determined by the User Profile Maintenance (UPM) application and the procedures are documented in the UPM Security Control Procedure.

- eJacket users access to information is limited by the permissions assigned to them by their organization or based on their role.

- Internal NSF users cannot use eJacket until provided with an NSF-assigned ID and provided with appropriate job class authorities and roles via the UPM application.

- Assignment of appropriate job class authorities is controlled by an authorized user within each organization.

4. How are the actual assignments of roles and rules verified according to the established security and auditing procedures?
   - The actual assignments of roles are verified through UPM and are assigned specifically to each division.

5. What auditing measures/controls and technical safeguards are in place to prevent misuse (e.g., unauthorized browsing) of data?
   - The UPM application determines what information and records a specific internal NSF user can view and/or update access to, and what tasks they are authorized to perform based on their job responsibilities.

   - Each display of a proposal or award jacket is tracked for audit purposes.

   - Database administrators also have access to all the data on the database and are trained to know what is considered proper access.

   - The use of query tools is tracked by monitoring software.

6. Describe the privacy training provided to users, either generally or specifically relevant to the program or system?
   - All Intergovernmental Personnel Act (IPA) employees, federal employees, visiting scientists, and contractors must complete annual IT Security and Privacy Awareness Training. IT Security and Privacy Awareness Training discusses such topics as recognizing types of sensitive information that must be protected at NSF (e.g., Privacy Act and financial records); the various Federal laws and guidance that relate to the protection of privacy for individuals and sensitive business information; and an introduction to NSF's privacy policies.
   - NSF staff and contractors that access Privacy Act information are required to sign a Rules of Behavior agreement. These agreements explicitly detail the permissible and appropriate access and actions required when working with NSF resources.

7. Will NSF contractors have access to the system? If so, will they be trained on privacy principles?

- Yes, NSF contractors have access to eJacket. NSF employees and contractors are required to take annual IT Security and Privacy Awareness Training.
- NSF contractors have access to only those eJacket functions required to complete their job responsibilities.
- NSF contractors are knowledgeable in proper access protocols, Rules of Behavior and the use of querying tools are tracked by monitoring software.
- NSF contractors are required to annually complete IT Security and Privacy Awareness training. The training includes segments addressing privacy issues.

8. Has the retention schedule been established by records management? If so, what is the retention period for the data in the system?
    - Grants management records are maintained according to NSF Grant and Control Records Schedule N1-307-88-2 found at: http://www.nsf.gov/policies/records/sch882.jsp.

9. What are the procedures for identification and disposition of the data at the end of the retention period?
    - NSF transfers electronic records to NARA three years after close of case files using approved file transfer protocols. Records are disposed of according to NARA retention schedules.

8. PRIVACY ANALYSIS

Given the amount and type of data being collected, discuss what privacy risks were identified and how they were mitigated.

- The risks of divulging privacy information (personal information, business proprietary information, ID's etc.) displayed in eJacket are mitigated by:
    - The UPM application determines what information and records a specific internal NSF user can view.
    - EJacket users receive a System Use notification presented at Network login
    - Each display of a proposal or award jacket is tracked for audit purposes.
    - Database administrators have access to the database and are trained to know what is considered proper access.
    - The use of query tools is tracked by monitoring software.
    - All NSF staff and contractors are required to annually complete IT Security and Privacy Awareness training. The training addresses privacy issues.