National Science Foundation

Privacy Impact Assessment

for

eJacket

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1. CONTACT INFORMATION

System Owner
David Saunders
External Systems Portfolio Manager OIRM/DIS
(703) 292-4261
dmsaunde@nsf.gov

Project Leader
Peggy Duong
OIRM/DIS
(703) 292-4326
pduong@nsf.gov

2. GENERAL SYSTEM INFORMATION

1. **Name of system:**

   Electronic Jacket (eJacket) https://www.eJacket.nsf.gov/ej/login.jsp

2. **Description of system or electronic collection of information and its purpose.**

   eJacket is an internal workflow application used by NSF staff to electronically process NSF proposals from receipt in Research.gov, Grants.gov (GI) and internally generated funding actions from eJacket through Division Director concurrence. eJacket provides web-based access for the primary users within the science directorates as well as electronic documents for Division Directors, Program Officers, Administrative Officers, and support staff.

   eJacket harvests its proposal and award information from internal NSF sources including iTRAK, Research.gov, and MyNSF. NSF staff use the eJacket application to view proposal information, transmit proposal-specific correspondence, file proposal review and recommendation actions, authorize proposals via program officer electronic signature, initiate budgetary activities (such as proposal funding), and initiate post-award activities for a specific proposal.

   The eJacket operating environment consists of virtual machines, administrative and technical controls, and the infrastructure used by eJacket DB servers and software systems. eJacket runs on Tomcat, a web-based Java application, and is deployed in a J2EE application server. The system architecture consists of three tiers: web tier, business tier, and database tier. The web tier is implemented using the Apache Struts framework. The Apache Struts web framework is a free open-source solution for J2EE web applications. The business tier is implemented using POJO (plain old java objects). The database tier is implemented using the Data Access Object (DAO) design pattern with POJO and Stored procedures to access the Sybase database. The model objects are used for transferring data from the business tier to the DAOs. The DAOs use Java Database Connectivity (JDBC) to call the Sybase stored procedures or Direct SQL execution with a statement or prepared statement JDBC objects. The shared Sybase database is the primary

database application for this environment. Apache Tomcat is a Java-based middleware platform that supports the eJacket application and standard Java Enterprise Edition (JEE) security technologies.

3. **What is the purpose of the system or electronic collection of information?**

Electronic Jacket (eJacket) provides the NSF program staff with the capability to manage their programs and proposals via a web-based platform. eJacket plays an important role in the Review, Award, and Management phases of the NSF Merit Review Process.

4. **Requested Operational Date?**

eJacket has been fully operational since June 17, 2002.

5. **Does the collection create a new Privacy Act System of Records Notice (SORN), or is the PII collection covered by one or more existing SORNs? If so, name the SORN.**

The eJacket system is covered under the following existing Privacy Act System of Records Notices (SORNs):

- NSF-12: Fellowships and Other Awards
- NSF-50: Principal Investigator/Proposal File and Associated Records
- NSF-51: Reviewer/Proposal File and Associated Records NSF-54: Reviewer/Fellowships and Other Awards File and Associated Records
- NSF-76: Account Registration and Management

6. **What specific legal authorities, arrangements and/or agreements require collection?**

The following legal authorities, arrangements and/or agreements require collection require PII collection:

- NSF 17-1: 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. PII IN THE SYSTEM

1. **What PII is to be collected, used, disseminated or maintained in the system or collection?**

eJacket utilizes information from internal NSF databases. 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 PII?**

   eJacket interfaces with iTRAK, Integrated Panel System, NSF Proposal Submission, Principal Investigator, and MyNSF Awards .

3. **What technologies will be used to collect the PII?**

   eJacket collects information from internal NSF databases.

4. ATTRIBUTES OF THE DATA (USE AND ACCURACY)

1. **Describe the uses of the PII.**

   eJacket is used to administer NSF post-awards and proposals.

2. **Does the system perform any strictly analytical functions on the PII?**

   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 accuracy of the PII collected from individuals or derived by the system be ensured?**

   The accuracy of PII from individuals or derived by the system is ensured by the following:

   - eJacket utilizes information from internal NSF databases, which allow 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 online 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. **Describe any sharing of the PII with internal or external organizations.**

   eJacket interfaces with iTRAK, Integrated Panel System, NSF Proposal Submission, Principal Investigator, and MyNSF Awards. Information from eJacket is shared with external organizations through written agreements consistent with Privacy Act uses.

2. **How is the PII 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 PII 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. 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. **How does the program or collection provide individuals notice prior to the collection of information? If notice is not provided, explain why not.**

   eJacket users receive a System Use notification presented at Network login

2. **Do individuals have the opportunity and/or right to decline to provide any or all PII?**

   Yes

3. **Do individuals have the right to consent to uses of their PII?**

   Yes

7. ACCESS TO DATA (ADMINISTRATIVE AND TECHNICAL CONTROLS)

1. **What categories of individuals will have lawful access to the system?**

   NSF users with LAN IDs have access to the system.

2. **How is permissible access by a user determined? Are procedures documented?**

   Permissible access is determined, and procedures documented by:

   - User access to data in eJacket is determined by the Account and Role Manager (ARM) and the procedures are documented in the Role Manager Security Control Procedure.
   - 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/or roles via the Account and Role Manager (ARM).
   - Assignment of appropriate job class authorities is controlled by an authorized user within each organization.

3. **What auditing measures/controls and technical safeguards are in place to prevent exposure or misuse of PII by authorized users, e.g., record browsing, extraction?**

   NSF uses the following controls and technical safeguards to prevent exposure or misuse of PII:

   - The Account and Role Manager (ARM) 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.

4. **Describe privacy training provided users, general or specific, 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.

5. **Describe the extent to which contractors will have access to the system.**

   - 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.

6. **Describe the retention period for the personal records 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.

7. **What is the disposition of the personal records at the end of the retention period?**

   NSF transfers electronic records to NARA three years after the close of case files using approved file transfer protocols. Records are disposed of according to NARA retention schedules.

8. SECURITY

Is the PII secured in accordance with FISMA requirements?

eJacket has an Authority to Operate according to FISMA requirements.

9. PRIVACY ANALYSIS

The risks of divulging privacy information (personal information, business proprietary information, ID's etc.) displayed in eJacket are mitigated by:

- The Account and Role Manager (ARM) 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