Privacy Impact Assessment
Smithsonian Tracking & Applicant Referral System

I. System Identification

1. **IT System Name:** Smithsonian Tracking & Applicant Referral System
2. **SI Unit Director or Designee:** Karen Scott, Office of Human Resources
3. **IT System Sponsor:** Deron Burba, Director, Office of CIO
4. **System Sponsor Unit:** Office of Human Resources
5. **IT System Manager:** Curtis Lutz
6. **PIA Author:** Curtis Lutz
7. **Date:** October 2009
8. **Brief (one paragraph) description of the system**:

The Smithsonian Tracking & Applicant Referral System is an integrated system for supporting the vacancy announcement and application process for various Units at the Smithsonian. It supports the complete application management process for vacancies and job applications from initiation through candidate selection. Applicants submit their application online through USA Jobs, while OHR and SI staff at the Units review the applications and make a hiring recommendation/selection. The system also serves as a communication tool between OHR and applicants by supporting email notifications to applicants.

II. Privacy Assessment

1. What information is being (or will be) collected.

The system collects application information for Smithsonian job vacancies. The following information will be collected and stored in STARS:

- Applicant's full name (last name, first name, and middle name); date of birth; street address; city; state; zip code; home phone number; work phone number; Social Security Number; citizenship, veteran preference;
- The Smithsonian vacancy announcement number, position title, and pay plan-series-grade for which the applicant is applying.

In addition, demographic and ethnicity information submitted by the applicant is also stored in STARS. This information includes gender, how the applicant learned of the position, race, and physical disability indicator. Applicant survey form data is accessible through reports and online query to the Smithsonian Office of Equal Employment and Minority Affairs (OEEMA) and is used only for statistical purposes. The form is not part of the selection process and has no effect on an applicant's consideration.

The applicant submits his or her personal information required or requested through the online application process in response to specific vacancy announcements posted on the Smithsonian's website (www.si.edu), the USAJobs website (www.usajobs.com), or other advertisements. The accuracy of the information in the system is dependent on the applicant.

2. Why the information is being collected.

Past employment, educational history, and related experience information are needed to establish a profile of the potential employee, and to make a decision on which applicant to select. Contact information is used to communicate with the applicant. Social Security Numbers are explicitly required as part of the application process for all applicants to Federal agencies per executive order 9397. Applicant information is retained for Smithsonian research purposes (i.e. determine application volume trends, popularity of particular vacancies, etc).

3. The intended use of the information.

Usage of personal privacy-related information contained within the STARS databases is limited to: Contacting and updating the applicant on status of application, upon hire the transfer of data to the personnel system, and statistical analysis of applicant trends.

4. With whom the information will be shared.

Full access to the sensitive personnel information is restricted to Human Resources personnel who have been specifically authorized from the SI units where the vacancy exists. Data such as race and ethnicity is not shared with the selecting officials and units. Valid login credentials are required to access the data and the system which are only accessible from within the Smithsonian network. OEEMA accesses race and ethnicity information for reporting statistical data on the application and hiring process. The system interfaces directly with the Human Resources system by sharing data on applicants that are actually chosen for a vacancy. It does not share data with any other system either internal or external to the Smithsonian.

5. What notice or opportunities for consent would be provided to individuals regarding what information is collected and how that information is shared.

Each Smithsonian vacancy announcement states clearly the information that is required to be submitted from applicants in order for the Smithsonian to evaluate the applicant's qualifications, background, and experience for the specific job vacancy. As stated in 1, the applicant submits his or her personal data through the online application process accessible via the Internet. A notice appears on each vacancy announcement indicating that if the required data is not submitted with the application, the application may be rated ineligible. The information must be correct when submitting the application; after the application is submitted, the applicant may update or correct data until the announcement is closed. After the announcement is closed, there is no opportunity to correct the data. If an applicant has questions related to any aspect of the vacancy announcement or application process, each vacancy announcement includes the full contact information of the Human Resources representative assigned to the vacancy.

6. How the information will be secured.

The Smithsonian applicant data resides on a secure database server at Monster Government Solutions hosting facility. Access to the front-end client application and database is secured through a user ID and password granted only to authorized users within SI. STARS protect sensitive data from unauthorized access and/or disclosure, assures integrity of data stored in electronic form, and protects data from unauthorized alteration or modification.

Smithsonian users access the system through desktop workstations using secure communications. The system allows access only to authorized users based on user profiles. Levels of access to STARS are controlled by the system administrator based on the individual needs of the user, as determined by both their supervisor and the system administrator.

STARS is certified and accredited using guidance contained in National Institute of Standards and Technology Special Publication 800-37 Guide for the Security Certification and Accreditation of Federal Information Systems. The Smithsonian's certification and accreditation program is based on a risk assessment and testing of controls commensurate with the importance and sensitivity of the system and acceptance of risk and authorization to operate by the program sponsor and the Chief Information Officer.

The servers are physically protected in a secure computer room, where access is limited to authorized personnel. System logs are reviewed on a regular basis and patches and updates are regularly installed. All backups are encrypted and retained for a limited time and kept off-site in a secure facility with limited, controlled access. Printed reports are kept behind locked doors and are shredded when no longer needed.