

Federal Communications Commission
Office of the Managing Director



**Privacy Impact Assessment¹ (PIA) for the
Experimental Radio Station License Files**

June 9, 2009

FCC Bureau/Office: Office of Engineering and Technology
Division: Electromagnetic Compatibility Division

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¹ This questionnaire is used to analyze the impacts on the privacy and security of the personally identifiable information (PII) that is being maintained in these records and files.

The *Privacy Act of 1974*, as amended, 5 C.F.R. 552a, requires Federal agencies to take special measures to protect personal information about individuals when the agencies collect, maintain, and use such personal information.

Having established through the **Privacy Threshold Analysis** that this information system contains information about individuals, *e.g.*, personally identifiable information (PII), it is important that when the FCC makes changes to such an information system, the FCC then analyzes:

- (a) What changes are being made to the information that the system presently collects and maintains; and/or
- (b) What new information will be collected and maintained to determine the continuing impact(s) on the privacy of the individuals.

The Privacy Impact Assessment template's purpose is to help the bureau/office to evaluate the changes in the information in the system and to make the appropriate determination(s) about how to treat this information, as required by the Privacy Act's regulations.

Section 1.0 Information System's Contents:

1.1 Status of the Information System:

- New information system—Implementation date:
- Revised or upgraded information system—Revision or upgrade date: May 2009

If this system is being revised—what will be done with the newly derived information:

- Placed in existing information system—Implementation Date: May 2009
- Placed in new auxiliary/ancillary information system—Date:
- Other use(s)—Implementation Date:

Please explain your response:

The Office of Engineering and Technology (OET) is making various minor improvements to the Experimental Radio Station License Files information system, including the system of records notice (SORN) FCC/OET-1, "Experimental Radio Station License Files," that covers the personally identifiable information (PII) used by this information system. OET has upgraded parts of this information system and added a routine use, "breach notification," as required by OMB Memorandum M-07-16 (May 22, 2007).

1.2 Has a Privacy Threshold Analysis been done?

- Yes
Date:
- No

If a Privacy Threshold Analysis has not been done, please explain why not:

This system of records notice (SORN) pre-dates the OMB requirements contained in OMB Memorandum M-03-22 (September 22, 2003) that created the Privacy Impact Assessment.

If the Privacy Threshold Analysis (PTA) has been completed, please skip to Question 1.15

1.3 Has this information system, which contains information about individuals, *e.g.*, personally identifiable information (PII), existed under another name, *e.g.*, has the name been changed or modified?

- Yes
 No

If yes, please explain your response:

The Experimental Radio Station License Files information system has never existed under another name nor has the name been changed since this SORN was published in the *Federal Register* on April 5, 2006.

1.4 Has this information system undergone a “substantive change” in the system’s format or operating system?

- Yes
 No

If yes, please explain your response:

The staff in the Office of Engineering and Technology (OET) has made only minor updates to the operating system, *etc.*, for the Experimental Radio Station License Files information system.

If there have been no such changes, please skip to Question 1.6.

1.5 Has the medium in which the information system stores the records or data in the system changed from paper files to electronic medium (computer database); or from one electronic information system to another, *i.e.*, from one database, operating system, or software program, *etc.*?

- Yes
 No

If yes, please explain your response:

1.6 Has this information system operated as part of another information system or was it linked to another information system:

- Yes
 No

If yes, please explain your response:

The Experimental Radio Station License Files information system, including the personally identifiable information covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, is a "stand alone" information system. It is also linked to the following FCC information systems:

- (1) Commission Registration System (CORES) through which individuals (and other entities, *i.e.*, businesses, institutions, and state and local governments, *etc.*) register with the Commission to obtain their FCC Registration Number (FRN) that is required to do business with the Commission;
- (2) Revenue Management Information System (RMIS) through which registrants submit their payments and fees for application forms, licenses, transfers, special temporary authorities (STAs), and other equipment authorizations, *etc.* and

(3) FCC's OFACS information system through which OET connects to the Federal Government's frequency coordination system at the National Technology and Information Agency (NTIA).

If the information system is not part of, nor linked to another information system, please skip to Question 1.8

1.7 If so, was it operated by another bureau/office or transferred from another Federal agency to the FCC?

- Yes
- No

Please explain your response:

1.8 What information is the system collecting, analyzing, managing, storing, transferring, *etc.*:

Information about FCC Employees:

- No FCC employee information
- FCC employee's name
- Other names used, *i.e.*, maiden name, *etc.*
- FCC badge number (employee ID)
- SSN
- Race/Ethnicity
- Gender
- U.S. Citizenship
- Non-U.S. Citizenship
- Biometric data
 - Fingerprints
 - Voiceprints
 - Retina scans/prints
 - Photographs
 - Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*
- Birth date/age
- Place of birth
- Medical data
- Marital status
- Spousal information
- Miscellaneous family information
- Home address
- Home address history
- Home telephone number(s)
- Personal cell phone number(s):
- Personal fax number(s)
- Personal e-mail address(es):
- Emergency contact data:
- Credit card number(s)
- Driver's license
- Bank account(s)
- FCC personal employment records
- Military records
- Financial history

- Foreign countries visited
- Law enforcement data
- Background investigation history
- National security data
- Communications protected by legal privileges
- Digital signature
- Other information:

Information about FCC Contractors:

- No FCC contractor information
- Contractor's name
- Other name(s) used, *i.e.*, maiden name, *etc.*
- FCC Contractor badge number (Contractor ID)
- SSN
- U.S. Citizenship
- Non-U.S. Citizenship
- Race/Ethnicity
- Gender
- Biometric data
 - Fingerprints
 - Voiceprints
 - Retina scans/prints
 - Photographs
 - Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*
- Birth date/Age
- Place of birth
- Medical data
- Marital status
- Spousal information
- Miscellaneous family information
- Home address
- Home address history
- Home telephone number(s)
- Personal cell phone number(s):
- Personal fax number(s)
- Personal e-mail address(es):
- Emergency contact data:
- Credit card number(s)
- Driver's license number(s)
- Bank account(s)
- Non-FCC personal employment records
- Military records
- Financial history
- Foreign countries visited
- Law enforcement data
- Background investigation history
- National security data
- Communications protected by legal privileges
- Digital signature
- Other information:

Information about FCC Volunteers, Visitors, Customers, and other Individuals:

- Not applicable
- Individual's name:
- Other name(s) used, *i.e.*, maiden name, *etc.*
- FCC badge number (employee ID)
- SSN:
- Race/Ethnicity
- Gender
- Citizenship
- Non-U.S. Citizenship
- Biometric data
 - Fingerprints
 - Voiceprints
 - Retina scans/prints
 - Photographs
 - Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*
- Birth date/Age:
- Place of birth
- Medical data
- Marital status
- Spousal information
- Miscellaneous family information
- Home address: Applicant's mailing address
- Home address history
- Home telephone number(s): Applicant's telephone number
- Personal cell phone number(s): Applicant's cell phone number
- Personal fax number(s): Applicant's fax number(s)
- Personal e-mail address(es): Applicant's e-mail address(es)
- Emergency contact data:
- Credit card number(s)
- Driver's license number(s)
- Bank account(s)
- Non-FCC personal employment records
- Military records
- Financial history
- Foreign countries visited
- Law enforcement data
- Background investigation history
- National security data
- Communications protected by legal privileges
- Digital signature
- Other information: Information that individual applicants file on FCC Form 159 (when making debt payments by check), 405, 442, 702, and/or 703, and special temporary authority (STA), and the supporting exhibits, experimental project reports, and related documentation that demonstrates compliance with 47 C.F.R. Part 5 of FCC rules and Section 5301 of the Anti-Drug Abuse Act of 1988 Certification, 21 U.S.C. Section 862.

Information about Business Customers and others (usually not considered “personal information”):

- Not applicable
- Name of business contact/firm representative, customer, and/or others
- Race/Ethnicity
- Gender
- Full or partial SSN:
- Business/corporate purpose(s)
- Other business/employment/job description(s)
- Professional affiliations
- Business/office address
- Intra-business office address (office or workstation)
- Business telephone number(s)
- Business cell phone number(s)
- Business fax number(s)
- Business pager number(s)
- Business e-mail address(es)
- Bill payee name
- Bank routing number(s)
- Income/Assets
- Web navigation habits
- Commercially obtained credit history data
- Commercially obtained buying habits
- Credit card number(s)
- Bank account(s)
- Other information: Information that individual applicants file on FCC Form 159 (when paying by check), 405, 442, 702, and 703, STA, and the supporting exhibits, experimental project reports, and related documentation that demonstrates compliance with 47 C.F.R. Part 5 of FCC rules and Section 5301 of the Anti-Drug Abuse Act of 1988 Certification, 21 U.S.C. Section 862.

1.9 What are the sources for the information that you are collecting:

- Personal information from FCC employees:
- Personal information from FCC contractors:
- Personal information from non-FCC individuals and/or households: Individuals who have filed FCC Form 159, 405, 442, 702, and/or 703, and STAs, who may have included personally identifiable information (PII) in their filings.
- Non-personal information from businesses and other for-profit entities: Individuals who file FCC Forms 159, 405, 442, 702 and/or 703, and STAs, who may have included personally identifiable information (PII) in their filings.
- Non-personal information from institutions and other non-profit entities: Individuals who file FCC Forms 159, 405, 442, 702, and/or 703, and STAs, who may have included personally identifiable information (PII) in their filings.
- Non-personal information from farms: Individuals who file FCC Forms 159, 405, 442, 702, and/or 703, and STAs, who may have included personally identifiable information (PII) in their filings.
- Non-personal information from Federal Government agencies:
- Non-personal information from state, local, or tribal governments: Individuals who file FCC Forms 159, 405, 442, 702, and/or 703, and STAs, who may have included personally identifiable information (PII) in their filings.

Other sources: International experimental radio station license holders.

1.10 Will the information system obtain, use, store, analyze, *etc.* information about individuals *e.g.*, personally identifiable information (PII), from other information systems, including both FCC and non-FCC information systems?

Yes

No

Please explain your response:

The Experimental Radio Station License Files information system has a link to the following:

- (1) FCC's Commission Registration System (CORES) through which individuals (and other entities, *i.e.*, businesses, institutions, and state and local governments, *etc.*) register with the Commission to obtain their FCC Registration Number (FRN) that is required to do business with the Commission;
- (2) FCC's Revenue Management Information System (RMIS) through which registrants submit their payments and fees for application forms, licenses, transfers, STAs, and other equipment authorizations, *etc.*; and
- (3) FCC's OFACS information system through which OET connects to the Federal Government's frequency coordination system at NTIA.

If the information system does not use any PII from other information systems, including both FCC and non-FCC information systems, please skip to Question 1.15.

1.11 If the information system uses information about individuals from other information systems, what information will be used?

FCC information system and information system name(s):

Non-FCC information system and information system name(s):

FCC employee's name:

(non-FCC employee) individual's name

Other names used, *i.e.*, maiden name, *etc.*

FCC badge number (employee ID)

Other Federal Government employee ID information, *i.e.*, badge number, *etc.*

SSN:

Race/Ethnicity

Gender

U.S. Citizenship

Non-U.S. Citizenship

Biometric data

Fingerprints

Voiceprints

Retina scan/prints

Photographs

Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*

Birth date/Age

Place of birth

Medical data

Marital status

- Spousal information
- Miscellaneous family information:
- Home address
- Home address history
- Home telephone number(s)
- Personal cell phone number(s)
- Personal fax number(s)
- Personal e-mail address(es)
- Emergency contact data
- Credit card number(s)
- Driver's license
- Bank account(s)
- Non-FCC personal employment records
- Non-FCC government badge number (employee ID)
- Law enforcement data
- Military records
- National security data
- Communications protected by legal privileges
- Financial history
- Foreign countries visited
- Background investigation history
- Digital signature
- Other information:

Information about Business Customers and others (usually not considered “personal information”):

- Not applicable
- Name of business contact/firm representative, customer, and/or others
- Race/Ethnicity
- Gender
- Full or partial SSN:
- Business/corporate purpose(s)
- Other business/employment/job description(s)
- Professional affiliations
- Intra-business office address (office or workstation)
- Business telephone number(s)
- Business cell phone number(s)
- Business fax number(s)
- Business e-mail address(es)
- Bill payee name
- Bank routing number(s)
- Income/Assets
- Web navigation habits
- Commercially obtained credit history data
- Commercially obtained buying habits
- Personal clubs and affiliations
- Credit card number(s)
- Bank account(s)
- Other information:

- 1.12 Will this information system derive new information, records, or data, or create previously unavailable information, records, or data, through aggregation or consolidation from the information that will now be collected via this link to the other system, including information, records, or data, that is being shared or transferred from the other information system(s)?

Yes
 No

Please explain your response:

- 1.13 Can the information, whether it is: (a) in the information system, (b) in a linked information system, and/or (c) transferred from another system, be retrieved by a name or a “unique identifier” linked to an individual, *e.g.*, SSN, name, home telephone number, fingerprint, voice print, *etc.*?

Yes
 No

Please explain your response:

- 1.14 Will the new information include personal information about individuals, *e.g.*, personally identifiable information (PII), be included in the individual’s records, or be used to make a determination about an individual?

Yes
 No

Please explain your response:

- 1.15 Under the *Privacy Act of 1974*, as amended, 5 C.F.R. 552a, Federal agencies are required to have a System of Records Notice (SORN) for an information system like this one, which contains information about individuals, *e.g.*, “personally identifiable information” (PII).

A System of Records Notice (SORN) is a description of how the information system will collect, maintain, store, and use the personally identifiable information (PII).

Is there a SORN that already covers this PII in this information system?

Yes
 No

If yes, what is this System of Records Notice (SORN): This system of records notice, FCC/OET-3, "Experimental Radio Station License Files," was published in the *Federal Register* on April 5, 2006.

Please provide the citation that was published in the *Federal Register* for the SORN: 71 FR 17234, 17242.

If a SORN already covers this PII, please skip to **Section 2.0 System of Records Notice (SORN) Update** to address any changes to this SORN.

If a system of records notice (SORN) does not presently cover the information about individuals in this system, then it is necessary to determine whether a new FCC system of records notice must be created for the information.

- 1.16 If this information system is not covered by a system of records notice (SORN), does the information system exist by itself, or does it now, or did it previously exist as a component or subset of another SORN?

- Yes
 No

If yes, please explain what has occurred:

What is the System of Records Notice (SORN) of which it is currently or previously a component or subset:

Please also provide the citation that was published in the *Federal Register* for the SORN:

- 1.17 What are the purposes or functions that make it necessary to create a new a system of records notice (SORN) for this information system, *e.g.*, why is the information being collected?

- 1.18 Where is this information for the system of records notice (SORN) located?

- 1.19 Is the use of the information both relevant and necessary to the purposes for which the information system is designed, *e.g.*, is the SORN only collecting and using information for the specific purposes for which the SORN was designed so that there is no “extraneous” information included in the database(s) or paper files?

- Yes
 No

Please explain your response:

If the use of this information is both relevant and necessary to the processes for this information system is designed, please skip to Question 1.21.

- 1.20 If not, why or for what reasons is the information being collected?

- 1.21 Is the information covered under a Security Classification as determined by the FCC Security Officer?

- Yes
 No

Please explain your response:

1.22 What is the legal authority that authorizes the development of the information system and the information/data collection?

1.23 In what instances would the information system’s administrator/manager/developer permit disclosure to those groups outside the FCC for whom the information was not initially intended. Such disclosures, which are referred to as “Routine Uses,”² are those instances that permit the FCC to disclose information from a SORN to specific “third parties.” These disclosures may be for the following reasons:

(check all that are applicable)

- Adjudication and litigation:
- Committee communications:
- Compliance with welfare reform requirements:
- Congressional inquiries:
- Emergency response by medical personnel and law enforcement officials:
- Employment, security clearances, licensing, contracts, grants, and other benefits by the FCC:

- Employment, security clearances, licensing, contracts, grants, and other benefits upon a request from another Federal, state, local, tribal, or other public authority, *etc.*:
- FCC enforcement actions:
- Financial obligations under the Debt Collection Information Act:
- Financial obligations required by the National Finance Center:
- First responders, *e.g.*, law enforcement, DHS, FEMA, DOD, NTIA, *etc.*:
- Government-wide oversight by NARA, DOJ, and/or OMB:
- Labor relations (NTEU):
- Law enforcement and investigations:
- Program partners, *e.g.*, WMATA, *etc.*:
- Breach of Federal data:
- Others “third party” disclosures:

1.24 Will the information be disclosed to consumer reporting agencies?

- Yes
- No

Please explain your response:

1.25 What are the policies for the maintenance and secure storage of the information?

² Information about individuals in a system of records may routinely be disclosed for the following conditions, *e.g.*, “routine uses”; however, in each of these routine uses that are checked, the FCC will determine whether disclosure of the information, *i.e.*, records, files, documents, and data, *etc.*, is compatible with the purpose(s) for which the information has been collected

- 1.26 How is information in this system retrieved?
- 1.27 What policies and/or guidelines are in place on how long the bureau/office will retain the information?
- 1.28 Once the information is obsolete or out-of-date, what policies and procedures have the system's managers/owners established for the destruction/purging of the data?
- 1.29 Have the records retention and disposition schedule(s) been issued or approved by the National Archives and Records Administration (NARA)?

- Yes
 No

Please explain your response:

If a NARA records retention and disposition schedule has been approved for this System of Records Notice (SORN), please skip to **Section 2.0 System of Records Notice (SORN) Update:**

- 1.30 If there is no NARA approved records retention and disposal schedule, has there been any coordination with the Performance Evaluation and Records Management Branch (PERM) or the Records Officer?

- Yes
 No

Please explain your response:

If this is a new System of Records Notice (SORN), please skip to **Section 3.0 Development, Management, and Deployment and/or Sharing of the Information:**

Section 2.0 System of Records Notice (SORN) Update:

If a System of Records Notice (SORN) currently covers the information, please provide information to update and/or revise the SORN:

- 2.1 Have there been any changes to the Security Classification for the information covered by the system of records notice (SORN) from what was originally determined by the FCC Security Officer?

- Yes
 No

Please explain your response:

The FCC's Security Operations Center (SOC) has not assigned a security classification to the Experimental Radio Station License Files information system and to the personally identifiable

information (PII) that it collects, uses, and maintains, which is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN.

2.2 Have there been any changes to the location of the information covered by the system of records notice (SORN)?

- Yes
 No

Please explain your response:

The information, including the personally identifiable information (PII) that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, is located in the Office of Engineering and Technology (OET), Federal Communications Commission (FCC), 445 12th Street, S.W., Washington, DC 20554.

2.3 Have there been any changes to the categories of individuals covered by the system of records notice (SORN)?

- Yes
 No

Please explain your response:

The categories of individuals include those who have applied for a FCC license to operate an experimental radio station under 47 C.F.R. Part 5 of the FCC's rules.

2.4 Have there been any changes to the categories of records, *e.g.*, types of information (or records) that the system of records notice (SORN) collects, maintains, and uses?

- Yes
 No

Please explain your response:

The categories of records that are covered by FCC/OET-1, "Experimental Radio Station License Files" SORN include the following:

- (1) Information that individuals may provide on one or more FCC Forms, STAs, *etc.*, and any supporting exhibits submitted by the applicants and/or licensees, and related documentation:
 - (a) FCC Form 159 series, Remittance Advice *et al.* (when paying fees by check);
 - (b) FCC Form 405, Application for Renewal of Station License;
 - (c) FCC Form 442, Application for a New or Modified Station;
 - (d) FCC Form 702, Application for Consent to Assignment of Radio Station Construction Authorization or License;
 - (e) FCC Form 703, Application for Consent to Transfer Control of Corporation Holding Station License;
 - (f) Special Temporary Authority (STA) under 47 C.F.R. § 5.61 of FCC Rules; and
 - (g) Any supporting documentation submitted by the applicants and licensees.
- (2) Personally identifiable information included in experimental project reports submitted by the applicant or licensees as required by 47 C.F.R. Part 5 of FCC rules;

- (3) Information included in comments from other FCC bureaus and offices and the NTIA on frequency interference potential and/or coordination of the operation(s); and
- (4) Contested applications for licenses, transfers, assignments, and construction, *etc.*, or petitions to deny or to cancel applications on behalf of other parties..

2.5 Have there been any changes to the legal authority under which the FCC collects and maintains the information covered by the system of records notice (SORN)?

- Yes
- No

Please explain your response:

The legal authority for maintenance of the personally identifiable information (PII) covered by FCC/OET-1, "Experimental Radio Station License Files" SORN is 47 U.S.C. 308.

2.6 Have there been any changes to the purposes for collecting, maintaining, and using the information covered by the system of records notice (SORN)?

- Yes
- No

Please explain your response:

The purposes for collecting maintaining, and using the information in the Experimental Radio Station License Files information system, including the personally identifiable information (PII) that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, are to determine:

- (1) An applicant's eligibility to operate a station in the experimental radio service;
- (2) Interference potential to other radio services within the FCC; and
- (3) If the project or experimentation is valid, as well as the possible use in rulemakings.

2.7 Have there been any changes to the "Routine Uses"³ under which disclosures are permitted to "third parties" as noted in the system of records notice (SORN)?

- Yes
- No

Please check all Routine Uses that apply and provide any explanation as required:

- Adjudication and litigation:
- Committee communications:
- Compliance with welfare reform requirements:
- Congressional inquiries:
- Emergency response by medical personnel and law enforcement officials:
- Employment, security clearances, licensing, contracts, grants, and other benefits by the FCC:
- Employment, security clearances, licensing, contracts, grants, and other benefits upon a request from another Federal, state, local, tribal, or other public authority, *etc.*:

³ Information about individuals in a system of records may routinely be disclosed for the following conditions, *e.g.*, "routine uses"; however, in each of these routine uses that are checked, the FCC will determine whether disclosure of the information, *i.e.*, records, files, documents, and data, *etc.*, is compatible with the purpose(s) for which the information has been collected

- FCC enforcement actions:
- Financial obligations under the Debt Collection Act:
- Financial obligations required by the National Finance Center:
- First responders, *e.g.*, law enforcement, DHS, FEMA, DOD, NTIA, *etc.*:
- Government-wide oversight by NARA, DOJ, and/or OMB:
- Labor relations:
- Law enforcement and investigations:
- Program partners, *e.g.*, WMATA:
- Breach of Federal data: OMB Memorandum M-07-16 (May 22, 2007).
- Others Routine Use disclosures not listed above: Public access.

2.8 Have there been any changes as to whether the FCC will permit the information covered by the system of records notice (SORN) can be disclosed to consumer reporting agencies?

- Yes
- No

Please explain your response:

Information in the Experimental Radio Station License Files information system, including the personally identifiable information covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, is not disclosed to any consumer reporting agencies.

2.9 Have there been any changes to the policies and/or guidelines for the storage and maintenance of the information covered by this system of records notice (SORN)?

- Yes
- No

Please explain your response:

The information in the Experimental Radio Station License Files information system, including the personally identifiable information (PII) that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, includes:

- (1) paper documents and records maintained in file cabinets;
- (2) electronically scanned images of the paper documents and records;
- (3) electronic records of data elements for both paper applications and electronically filed applications; and
- (4) electronic copies of licenses granted after November 16, 1998.

As required by 47 C.F.R. Section 5.55(b) of FCC rules, all applications for experimental licensing must now be filed electronically via the Internet at: <https://fjallfoss.fcc.gov/oetcf/els/index.cfm>.

2.10 Have there been any changes to how the information covered by the system of records notice (SORN) is retrieved or otherwise accessed?

- Yes
- No

Please explain your response:

Information, including scanned images, electronic records of data elements, and electronic copies of granted licenses, *etc.*, in the Experimental Radio Station License Files information system,

including the personally identifiable information (PII) covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, may be retrieved as follows:

- (1) Paper file documents are retrieved by licensee name. If there is more than one station license per licensee, then the files may also be retrieved by station call sign.
- (2) Scanned images, electronic records of data elements, and electronic copies of licenses are retrieved from the OET Experimental Licensing Branch Reports World Wide Web electronic filing and reporting site at: <https://fjallfoss.fcc.gov/oetcf/els/index.cfm>.

2.11 Have there been any changes to the safeguards that the system manager has in place to protect unauthorized access to the information covered by the system of records notice (SORN)?

- Yes
 No

Please explain your response:

All files are available to the public except:

- (1) files that are not routinely made publicly available under 47 C.F.R. Section 0.457(d)(1)(ii), and
- (2) files that have been submitted in compliance with the confidentiality request requirements of 47 C.F.R. Section 0.459.

Files not routinely available and files pending or granted confidentiality are marked "NOT FOR PUBLIC INSPECTION" and may only be accessed by FCC employees and contractors who have a "need to know" based on their job duties and responsibilities.

The electronic records and data in the FCC's computer network are secured through controlled access and passwords restricted to administrative staff in the Office of Engineering and Technology (OET). The information (electronic data) that is resident on the network servers is backed-up routinely to magnetic media. Back-up tapes are stored on-site and in secured off-site storage locations.

Please note that you must also provide an update of the current protections, safeguard, and other security measures that are in place in this SORN in **Section 5.0 Safety and Security Requirements**:

2.12 Have there been any changes to the records retention and disposition schedule for the information covered by the system of records notice (SORN)? If so, has the system manager worked with the Performance Evaluation and Records Management (PERM) staff to insure that this revised schedule been approved by the National Archives and Records Administration (NARA)?

- Yes
 No

Please explain your response:

The information in the Experimental Radio Station License Files information system's electronic data records and paper document files, including the personally identifiable information (PII) that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, are maintained for two years after expiration of the license. The FCC then disposes of the paper documents by shredding. The electronic data are destroyed either by physical destruction of the electronic storage media or by erasure of the electronic data.

Section 3.0 Development, Management, and Deployment and/or Sharing of the Information:

3.1 Who will develop the information system(s) covered by this system of records notice (SORN)?

- Developed wholly by FCC staff employees:
- Developed wholly by FCC contractors:
- Developed jointly by FCC employees and contractors:
- Developed offsite primarily by non-FCC staff:
- COTS (commercial-off-the-shelf-software) package:
- Other development, management, and deployment/sharing information arrangements:

3.2 Where will the information system be hosted?

- FCC Headquarters
- Gettysburg
- San Diego
- Colorado
- New York
- Columbia Lab
- Chicago
- Other information:

3.3 Who will be the primary manager(s) of the information system who will be responsible for assuring access to, proper use of, and protecting the security and integrity of the information? (Check all that apply and provide a brief explanation)

- FCC staff in this bureau/office exclusively: OET supervisors and staff have responsibility for access and proper use of the information in the Experimental Radio Station License Files information system.
- FCC staff in other bureaus/offices:
- Information system administrator/Information system developers:
- Contractors:
- Other information system developers, *etc*:

3.4 What are the FCC's policies and procedures that the information system administrators and managers use to determine who gets access to the information in the system's files and/or database(s)?

Access to the information, including the electronic records and data that are stored on the OET computer network databases and the paper documents and files that are stored in filing cabinets, is restricted to the OET supervisors and staff. Other FCC employees and contractors working at the FCC may be granted access on a "need to know" basis as dictated by their job duties and responsibilities.

3.5 How much access will users have to data in the information system(s)?

- Access to all data: On-line access to the experimental radio station license files is available to the public at: <https://fjallfoss.fcc.gov/oetcf/els/index.cfm>.
- Restricted access to data, as determined by the information system manager, administrator, and/or developer: OET employees and contractors may be granted access on a "need-to-know" basis as part of their job duties and responsibilities for information not routinely available to the public under 47 C.F.R. § 0.457(d)(1)(ii) and/or for information for which confidentiality has been requested under 47 C.F.R. § 0.459.

Other access policy:

3.6 Based on the Commission policies and procedures, which user group(s) may have access to the information at the FCC:

(Check all that apply and provide a brief explanation)

- Information system managers: OET supervisory staff..
- Information system administrators: FCC employees and contractors who manage the IT systems that hold and process the PII electronic data.
- Information system developers:
- FCC staff in this bureau/office: OET employees are granted access on a "need to know" basis.
- FCC staff in other bureaus/offices:
- FCC staff in other bureaus/offices in FCC field offices:
- Contractors: Contractors working at the FCC are granted access on a "need to know" basis.
- Other Federal agencies:
- State and/or local agencies:
- Businesses, institutions, and other groups:
- International agencies:
- Individuals/general public:
- Other groups:

3.7 If contractors are part of the staff in the FCC who collect, maintain, and access the information, does the IT supervisory staff ensure that contractors adhere fully to the Privacy Act provisions, as required under subsection (m) of the Privacy Act, as amended, 5 C.F.R. 552a(m)?

- Yes
- No

Please explain your response:

The ITC supervisory staff provides periodic privacy training to the IT contractors who handle the PII contained in the Experimental Radio Station License Files information system.

3.8 Do any Section M contract(s) associated with the information system covered by this system of records notice (SORN) include the required FAR clauses (FAR 52.224-1 and 52.224-2)?

- Yes
- No

Please explain your response:

In the future, OET will insure that its contracts covering contractors who have access to the information in the Experimental Radio Station License Files information system, including the PII covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, include the required FAR clauses.

3.9 Does the information system covered by this system of records notice (SORN) transmit/share personal information, *e.g.*, personally identifiable information (PII), between the FCC information technology (ITC) network(s) and a public or other non-FCC IT network(s), which are not covered by this Privacy Impact Assessment?

- Yes
- No

Please explain your response:

The Experimental Radio Station License Files information system, which includes the PII covered by FCC/OET-1, “Experimental Radio Station License Files” SORN, is linked to the following FCC information systems:

- (1) Commission Registration System (CORES) through which individuals must use to register to do business with the Commission,
- (2) Revenue Management Information System (RMIS) through which registrants pay their registration, licensing, equipment authorization, and all other fees and payments; and
- (3) OFACS through which OET contacts the NTIA's frequency coordination system to insure that there are no conflicts with existing licensed radio frequency users.

The FCC uses CORES and RMIS to determine if the applicant or licensee using the Experimental Radio Station Licensing Files is in compliance with FCC rules and regulations and/or has paid their fees to the Commission. Because the FCC uses the FRN generated in CORES to identify each individual (and all other entities, *i.e.*, businesses, institutions, and state and local governments, *etc.*, who conduct business with the FCC), there is no transmission or exchange of personally identifiable information (PII) between these information systems.

The OFACS information system does not transmit/exchange PII.

If there is no information sharing or transmission, please skip to **Section 4.0 Data Quality, Utility, Objectivity, and Integrity Requirements:**

- 3.10 If the information system covered by this system of records noticed (SORN) transmits/shares personal information between the FCC network and a public or other non-FCC network, which is not covered by this Privacy Impact Assessment, what information is shared/transmitted/disclosed and for what purposes?
- 3.11 If there is such transmission/sharing of personal information, how is the information secured for transmission—what security measures are used to prevent unauthorized access during transmission, *i.e.*, encryption, *etc.*?
- 3.12 If there is sharing or transmission to other information systems, with what other non-FCC organizations, groups, and individuals will the information be shared?
(Check all that apply and provide a brief explanation)
- Other Federal agencies:
 - State, local, or other government agencies:
 - Businesses:
 - Institutions:
 - Individuals:
 - Other groups:

If there is no “matching agreement,” *e.g.*, *Memorandum of Understand (MOU)*, *etc.*, please skip to **Section 4.0 Data Quality, Utility, Objectivity, and Integrity Requirements:**

3.13 What kind of “matching agreement,” *e.g.*, *Memorandum of Understanding (MOU)*, *etc.*, as defined by 5 C.F.R. 552a(u) of the Privacy Act, as amended, is there to cover the information sharing and/or transferal with the external organizations?

3.14 Is this a new or a renewed matching agreement?

- New matching agreement
- Renewed matching agreement

Please explain your response:

3.15 Has the matching agreement been reviewed and approved (or renewed) by the FCC’s Data Integrity Board, which has administrative oversight for all FCC matching agreements?

- Yes
If yes, on what date was the agreement approved:
- No

Please explain your response:

3.17 How is the information that is covered by this system of records notice (SORN) transmitted or disclosed with the external organization(s) under the *MOU* or other “matching agreement?”

3.18 How is the shared information secured by the recipient under the *MOU*, or other “matching agreement?”

Section 4.0 Data Quality, Utility, Objectivity, and Integrity Requirements:

OMB regulations require Federal agencies to insure that the information/data that they collect and use meets the highest possible level of quality and integrity. It is important, therefore, that the information the Commission’s information systems use meets the “benchmark standards” established for the information.

4.1 How will the information that is collected from FCC sources, including FCC employees and contractors, be checked for accuracy and adherence to the Data Quality guidelines?
(Please check all that apply)

- Information is processed and maintained only for the purposes for which it is collected.
- Information is reliable for its intended use(s).
- Information is accurate.
- Information is complete.
- Information is current.
- Not applicable:

Please explain any exceptions or clarifications:

The information contained in the Experimental Radio Station License Files information system, including the personally identifiable information (PII) covered by FCC/OET-1, “Experimental

Radio Station License Files” SORN, that applicants submit to the FCC comes from non-FCC sources.

If the Data Quality Guidelines do not apply to the information in this information system, please skip to **Section 5.0 Safety and Security Requirements:**

4.2 Is any information collected from non-FCC sources; if so, how will the information sources be checked for accuracy and adherence to the Data Quality guidelines?
(Please check all that apply and provide an explanation)

Yes, information is collected from non-FCC sources: Applicants and licensees who have applied for or been granted or a renewal of an experimental radio station license.
 Information is processed and maintained only for the purposes for which it is collected:

Information is reliable for its intended use(s):

Information is accurate:

Information is complete:

Information is current:

No information comes from non-FCC sources:

Please explain any exceptions or clarifications:

The FCC's Office of Engineering and Technology (OET) reviews all applications and license renewals to insure:

- (1) That the applicant or licensee requesting renewal is eligible to operate a station in the experimental radio service;
- (2) That the experimental radio station will have minimal interference with other radio services; and/or
- (3) Whether the project or experiment is a valid use of the radio spectrum or has other possible uses.

In addition, FCC Forms 405, 442, 702, and 703 each carries the following notice:

WILLFUL FALSE STATEMENTS MADE ON THIS FORM OR ANY ATTACHMENTS ARE PUNISHABLE BY FINE AND/OR IMPRISONMENT (U.S. Code, Title 18, § 1001) AND/OR REVOCATION OF ANY STATION LICENSE OR CONSTRUCTION PERMIT (U.S. Code Title 47, § 312(a)(1)), AND/OR FORFEITURE (U.S. Code, Title 47, § 503).

If the information that is covered by this system of records notice (SORN) is not being aggregated or consolidated, please skip to Question 4.5.

4.3 If the information that is covered by this system of records notice (SORN) is being aggregated or consolidated, what controls are in place to insure that the information is relevant, accurate, and complete?

4.4. What policies and procedures do the information system’s administrators and managers use to insure that the information adheres to the Data Quality guidelines both when the information is obtained from its sources and when the information is aggregated or consolidated for the use by the bureaus and offices?

- 4.5 How often are the policies and procedures checked routinely—what type of annual verification schedule has been established to insure that the information that is covered by this system of records notice adheres to the Data Quality guidelines?

As noted above, the FCC's Office of Engineering and Technology (OET) reviews all applications and license renewals to insure that the experimental radio station license(s) will comply with FCC regulations under 47 C.F.R. Part 5 of FCC rules before approving the license(s).

The Data Quality guidelines are among the criteria that OET uses to evaluate the application or license renewal, and the OET Experimental Licensing System provides a link at: <http://www.fcc.gov/omd/dataquality> to the FCC's Information Quality Guidelines in which the FCC explains that its guidelines substantially follow the OMB Data Quality Guidelines.

Furthermore, the information contained in the Experimental Radio Station License Files information system does not require a specific annual verification schedule. The OET staff reviews each submission for accuracy, currency, and completeness. The "filing options" that a registrant and/or applicant may need, *i.e.*, FCC Forms 405, 442, 702, and 703 and the Special Temporary Authority each carries the following notice:

WILLFUL FALSE STATEMENTS MADE ON THIS FORM OR ANY ATTACHMENTS ARE PUNISHABLE BY FINE AND/OR IMPRISONMENT (U.S. Code, Title 18, § 1001) AND/OR REVOCATION OF ANY STATION LICENSE OR CONSTRUCTION PERMIT (U.S. Code Title 47, § 312(a)(1)), AND/OR FORFEITURE (U.S. Code, Title 47, § 503).

Section 5.0 Safety and Security Requirements:

- 5.1 How are the records/information/data in the information system covered by this system of records notice (SORN) stored and maintained?

- IT database management system (DBMS)
- Storage media including CDs and CD-ROMs, *etc.*
- Electronic tape
- Paper files
- Other:

- 5.2 Is the information collected, stored, analyzed, or maintained by this information system available in another form or from another source (other than a "matching agreement" or *MOU*, as noted above)?

- Yes
- No

Please explain your response:

The information that the Experimental Radio Station License Files information system collects, uses, and maintains, including the PII that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, is obtained from the information that applicants submit to the FCC with their Experimental Radio Station License Files application(s) and license renewal(s). All filings are from non-FCC related sources.

The FCC has a MOU with NTIA (March 12, 2007) to cover the OFACS information system's frequency coordination data exchanges that link the data to the Experimental Radio Station License Files information system. The OFACS information system does not transmit/exchange PII.

5.3 Is the information system covered by this system of records notice (SORN) part of another FCC information system that collects personally identifiable information (PII)?

- Yes
 No

Please explain your response:

The Experimental Radio Station License Files information system, including the PII covered by FCC/OET-1, "Experimental Radio Station License Files" SORN is a "stand alone" information system. It is also linked to the following FCC information systems:

- (1) Commission Registration System (CORES), which individuals must use to register to do business with the Commission;
- (2) Revenue Management Information System (RMIS) to pay registration, licensing, equipment authorization, and all other fees and payments; and

These links provide a means to determine if the registrant, applicant, and/or licensee is in compliance with FCC rules and regulations and/or has paid their fees to the Commission. Furthermore, the FCC uses the registrant's FRN to identify the registrant (including individuals and all other entities conduct business with the FCC) once they have completed registration, there is no transmission or exchange of personally identifiable information (PII) between the Experimental Radio Station License Files information and the CORES and RMIS information systems.

If this information system is not part of another FCC information system, please skip to Question 5.7.

5.4 If the information system (under review here) has personally identifiable information (PII) and is part of another FCC information system, is there a transfer of records/data/information between these two FCC information system(s)?

- Yes
 No

Please explain your response:

5.5 If the information system's personally identifiable information (PII) is part of another FCC information system, does the information system have processes and/or applications that are part of those from the other FCC information systems?

- Yes
 No

Please explain your response:

5.6 If either or both such situations, as noted in Questions 5.4 and 5.5 exist, what security controls are there to protect the PII information and to prevent unauthorized access?

- Not applicable.

Please explain your response:

5.7 Would the unavailability of this information system prevent the timely performance of FCC operations?

- Yes
 No

Please explain your response:

The Experimental Radio Station License Files information system performs a necessary function for the Commission. OET uses this information system to collect, store, and use the data that applicants submit with FCC Forms 159 (debt payments), 405, 442, 702, and 703 and/or Special Temporary Authorizations (STAs), and the accompanying exhibits, experimental project reports, and other supporting documentation for the experimental radio license for which the applicant is seeking FCC authorization that allows them to operate. OET reviews the application or license renewal to determine if it complies FCC rules under 47 C.F.R. Part 5 and whether it will not cause interference with other radio stations.

Without this information system, OET will lack a means to collect and analyze the application's data to determine whether the radio station meets FCC regulatory standards and does not cause any potential interference (safety and life issues) to other radio spectrum users. Thus, this information system is used by the FCC in its mission to carry out its regulatory responsibilities under the Communications Act of 1934.

5.8 Will the information system include an externally facing information system or portal such as an Internet accessible web application at www.fcc.gov or other URL that allows customers/users to access development, production, or internal FCC networks, and which may pose potential risks to the information's security?

- Yes
 No

Please explain your response:

Although, the Experimental Radio Station License Files process is done entirely through the OET Experimental Radio Station License Files Electronic Filing World Wide Web site at: <https://fjallfoss.fcc.gov/oetcf/els/index.cfm>, the FCC has various safeguards in place to protect the security and integrity of the Commission's electronic submission process for Experimental Radio Station License Files applications as stated on the FCC's privacy policy webpage:

[The FCC]...use[s] commercial encryption techniques to protect the transmission and storage of the information you submit to us when you use one of our secure online forms. E-mail that you send to us is not necessarily secure against third-party interception or misdirection. For your own protection, you may wish to communicate sensitive information using a method other than e-mail.

For website security purposes and to ensure that our website remains available to all users, FCC computer systems that support the website use industry-standard methods and software to monitor and audit network traffic to identify unauthorized attempts to upload or change information, or otherwise cause damage. Anyone visiting our website expressly consents to such monitoring and auditing.

If the information is collected by some method or mechanism other than the externally facing information system portal at www.fcc.gov or other URL, please skip to Question 5.11.

5.9 If the information is collected via www.fcc.gov or other URL from the individuals, how does the information system notify users about the Privacy Notice:

- Link to the FCC's privacy policies for all users: The Experimental Licensing webpage has a link to the FCC's Website policies at: <http://www.fcc.gov/webpolicies.html>, which has a link to the FCC's privacy policies at: <http://www.fcc.gov/fccprivacypolicy.html>.
- Privacy notice displayed on the webpage:
- Privacy notice printed at the end of the form or document: FCC Forms 159, 405, 442, 702, and 703 all carry a privacy notice.
- Website uses another method to alert users to the Privacy Act Notice, as follows:
- If there is no link or notice, why not:

5.10 If a privacy notice is displayed, which of the following are included?

- Proximity and timing—the privacy notice is provided at the time and point of data collection.
- Purpose—describes the principal purpose(s) for which the information will be used.
- Authority—specifies the legal authority that allows the information to be collected.
- Conditions—specifies whether providing the information is voluntary, and the effects, if any, of not providing it.
- Disclosures—specify the routine use(s) that may be made of the information.
- Not applicable, as information will not be collected in this way.

Please explain your response:

5.11 Will the information system include another customer-facing Website not on www.fcc.gov or other URL?

- Yes
- No

Please explain your response:

If the information is collected by some method or mechanism in addition to or other than via the FCC Internet website at www.fcc.gov or the FCC Intranet for FCC employees and contractors working at the FCC, please skip to Question 5.14.

5.12 If the information system has a customer-facing website via the FCC Intranet for FCC employees and contractors working at the FCC, does this website(s) have a Privacy Act Notice and how is it displayed?

- Yes
 - Notice is displayed prominently on this FCC Intranet website:
 - Link is provided to a general FCC Privacy Notice for all users:
 - Privacy Notice is printed at the end of the form or document:
 - Website uses another method to alert users to the Privacy Act Notice:
- No:

If there is no Privacy Act Notice, please explain why not:

- 5.13 If a privacy notice is displayed, which of the following information is included?
- Proximity and timing—the privacy notice is provided at the time and point of data collection.
 - Purpose—describes the principal purpose(s) for which the information will be used.
 - Authority—specifies the legal authority that allows the information to be collected.
 - Conditions—specifies if providing the information is voluntary, and the effects, if any, of not providing it.
 - Disclosures—specify the routine use(s) that may be made of the information.
 - Not applicable, as information will not be collected in this way.

Please explain your response:

If information is collected by some method or mechanism other than by fax, e-mail, FCC form(s), or regular mail, please skip to Question 5.16.

- 5.14 If information is collected from the individual by fax, e-mail, FCC form(s), regular mail, or some other means not listed above, how is the privacy notice provided?
- Privacy notice is on the document, *e.g.*, FCC form, *etc.*
 - Privacy notice displayed on the webpage where the document is located:
 - Statement on the document notifies the recipient that they may read the FCC Privacy Notice at www.fcc.gov.
 - Website or FCC document uses other method(s) to alert users to the Privacy Act Notice:
 - Privacy notice is provided via a recorded message or given verbally by the FCC staff handling telephone calls:
 - No link or notice, please explain why not:
 - Not applicable, as personally identifiable information (PII) will not be collected.

- 5.15 If a privacy notice is displayed, which of the following information is included?
- Proximity and timing—the privacy notice is provided at the time and point of data collection.
 - Purpose—describes the principal purpose(s) for which the information will be used.
 - Authority—specifies the legal authority that allows the information to be collected.
 - Conditions—specifies if providing the information is voluntary, and the effects, if any, of not providing it.
 - Disclosures—specify the routine use(s) that may be made of the information.
 - Not applicable, as information will not be collected in any other way.

Please explain your response:

If there is no access to the information system from outside the FCC via www.FCC.gov or other URL, please skip to Question 5.17.

- 5.16 If consumers may access the information and/or the information system on-line via www.FCC.gov, does it identify ages or is it directed to people under 13 years old?
- Yes
 - No

Please explain your response:

The FCC's policy in regard to the "Interaction With Children" on the Commission's websites is as follows:

[The FCC's]...[w]ebsite contains some pages that offer educational content to children. It is FCC policy, in compliance with the requirements of the Children's Online Privacy Protection Act (COPPA), not to collect information online about or from children age 13 and under, except when it is needed to identify a submission or to answer a question. Under no circumstances will any of this information be used for another purpose or shared with third parties, nor will personally identifying information be published on the FCC website.

- 5.17 Will the FCC use the newly obtained information or revised information in this information covered by the existing system of records notice (SORN) to make a determination about the individual?

Yes
 No

Please explain your response:

The FCC's Experimental Radio Station License Files information system, including the PII that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, is used solely for applicants to submit their applications and supporting documentation to OET to use in its review, analysis, and determination of whether the experimental radio station complies with FCC regulations governing the station signal transmissions and will not cause interference to existing radio station transmissions and other radio frequency transmissions, *i.e.*, airplanes, boats, *etc.*

However, OET is provided via the RMIS information system with information on any registrant's delinquent financial obligations, which determines whether the registrant's application is approved.

- 5.18 Do individuals have the right to decline to provide personally identifiable information (PII)?

Yes
 No

Please explain your response:

Individuals who submit applications on FCC Forms 405, 442, 702, and/or 703 and provide the accompanying supporting documentation are required to provide minimal personally identifiable information (PII), which is stored in the FCC's Experimental Radio Station License Files information system, including the PII that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN. OET needs this minimal PII from individuals for identification and other related purposes related to the OET staff's review and processing of the individual's application for Experimental Radio Station License Files.

- 5.19 Do individuals have the right to consent to particular uses of their personal information?

Yes
 No

Please explain your response:

Individuals who submit applications on FCC Form 405, 442, 702, and/or 703 and provide the accompanying supporting documentation are required to provide minimal personally identifiable information (PII), which is stored in the FCC's Experimental Radio Station License Files

information system, including the PII that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN. OET needs this minimal PII from individuals for identification and other related purposes related to the OET staff's review and processing of the individual's application for Experimental Radio Station License Files.

If individuals do not have the right to consent to the use of their information, please skip to Question 5.22.

5.20 If individuals have the right to consent to the use of their personal information, how does the individual exercise this right?

5.21 What processes are used to notify and to obtain consent from the individuals whose personal information is being collected?

5.22 Is the information, *i.e.*, records, data, documents, *etc.*, that the information system collects, uses, maintains, *etc.*, being used to produce reports on the individuals whose PII is part of this information covered by the system of records notice (SORN)?

- Yes
- No

Please explain your response:

The Experiment Radio Station License Files information system does not produce any reports on any PII pertaining to applicants, licensees, or filers. The information that each applicant submits, including any PII on the individual submitters that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, pertains to the application on the FCC form or STAs and is used to determine:

- (1) An applicant's eligibility to operate a station in the experimental radio service;
- (2) Interference potential to other radio services within the FCC; and
- (3) If the project or experimentation is valid, as well as its possible use in rulemakings, including any accompanying supporting documentation with their comments, *etc.*, that individuals and other entities submit/file pursuant to FCC notices of public rulemaking(s), notices of public inquiry, miscellaneous filings, *etc.*

However, OET does produce a monthly notice listing of all license grantees, including each grantee's name and their granted application that have been approved by OET.

5.23 What safeguards and security measures, including physical and technical access controls, are in place to secure the information and to minimize unauthorized access, use, or dissemination of the information that is stored and maintained in the information system?

(Check all that apply)

- Account name
- Passwords
 - Accounts are locked after a set period of inactivity
 - Passwords have security features to prevent unauthorized disclosure, *e.g.*, "hacking"
 - Accounts are locked after a set number of incorrect attempts
 - One time password token
 - Other security features:

- Firewall
- Virtual private network (VPN)
- Data encryption:
- Intrusion detection application (IDS)
- Common access cards (CAC)
- Smart cards:
- Biometrics
- Public key infrastructure (PKI)
- Locked file cabinets or fireproof safes
- Locked rooms, with restricted access when not in use
- Locked rooms, without restricted access
- Documents physically marked as "sensitive"
- Guards
 - Identification badges
 - Key cards
 - Cipher locks
 - Closed circuit TV (CCTV)
- Other:

5.24 Please explain what staff security training and other measures are in place to assure that the security and privacy safeguards are maintained adequately?

All FCC employees and contractors who work with the information that is collected, used, stored and maintained in the Experimental Radio Station License Files information system, including the PII that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, are required to complete privacy training. In addition the OET staff provides various notices and warnings to the employees and contractors who have access that the PII is not to be shared or disclosed without authorization.

5.25 How often are security controls reviewed?

- Six months or less:
- One year: The OET staff reviews the security controls in the Experimental Radio Station License Files information system annually.
- Two years
- Three years
- Four years
- Five years
- Other:

5.26 How often are personnel (information system administrators, users, information system/information system developers, contractors, *etc.*) who use the information system trained and made aware of their responsibilities for protecting the information?

- There is no training
- One year: In September 2006, the FCC inaugurated a Commission-wide privacy training program that requires all FCC employees and contractors to complete an initial privacy training course and to take a privacy refresher course annually thereafter, as required by the Office of Management and Budget (OMB).
- Two years
- Three years
- Four years

- Five years
- Other:

If privacy training is provided, please skip to Question 5.28.

5.27 What are the safeguards to insure that there are few opportunities for disclosure, unavailability, modification, and/or damage to the information system covered by this system of records notice (SORN), and/or prevention of timely performance of FCC operations if operational training is not provided?

5.28 How often must staff be “re-certified” that they understand the risks when working with personally identifiable information (PII)?

- Less than one year:
- One year: The OET staff requires that the FCC employees and contractors who have access the data in the Experimental Radio Station License Files information system must be trained at once a year about their responsibilities for protecting the PII contained in the information system.
- Two years
- Three or more years
- Other re-certification procedures:

5.29 Do the Commission’s training and security requirements for this information system that is covered by this system of records notice (SORN) conform to the requirements of the Federal Information Security Management Act (FISMA)?

- Yes
- No

Please explain your response:

The FCC's training and security requirements comply with FISMA regulations.

If the Privacy Threshold Analysis was completed recently as part of the information system’s evaluation, please skip to Question 5.34.

5.30 What is the potential impact on individuals on whom the information is maintained in the information system(s) if unauthorized disclosure or misuse of information occurs? (check one)

- Results in little or no harm, embarrassment, inconvenience, or unfairness to the individual.
- Results in moderate harm, embarrassment, inconvenience, or unfairness to the individual.
- Results in significant harm, embarrassment, inconvenient, or unfairness to the individual.

Please explain your response:

The Experimental Radio Station License Files information system requires individuals to provide only minimal personally identifiable information (PII) with their applications, *i.e.*, their name and address, which is necessary for the FCC staff to identify each individual who is submitting an application for Experimental Radio Station License Files.

5.31 Is the impact level for the information system(s) covered by this system of records notice (SORN) consistent with the guidelines as determined by the FIPS 199 assessment?

- Yes
 No

Please explain your response:

The impact level for the PII that is collected, used, and maintained in the Experimental Radio Station License Files information system, and which is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN is consistent with the FIPS 199 assessment guidelines.

5.32 Has a "Certification and Accreditation" (C&A) been completed for the information system(s) covered this system of records notice (SORN)?

- Yes
 No

If yes, please explain your response and give the C&A completion date:

The C&A for the Experimental Radio Station License Files information system was completed on October 31, 2008.

5.33 Has the Chief Information Officer (CIO) and/or the Chief Security Officer (CSO) designated this information system as requiring one or more of the following:

- Independent risk assessment:
 Independent security test and evaluation:
 Other risk assessment and/or security testing procedures, *etc.*: The FCC conducts an "in house" review.
 Not applicable:

5.34 Is the system using technology in ways that the Commission has not done so previously, *i.e.*, Smart Cards, Caller-ID, *etc*?

- Yes
 No

Please explain your response:

The Experimental Radio Station License Files information system does not include any smart cards or other technologies that the FCC has not used previously.

5.35 How does the use of the technology affect the privacy of the general public and FCC employees and contractors?

The Experimental Radio Station License Files information system has minimal impact on the privacy of individuals who file applications for Experimental Radio Station License Files using FCC Forms 159 (debt payments), 405, 442, 702, and/or 703 and STAs. The FCC requires that individuals provide only minimal personally identifiable information (PII) so that the OET staff can process the applications, license renewals, and authorizations, *etc.* Otherwise, individuals who are applicants/registrants/licensees must use their FCC Registration Number (FRN) to conduct business with the FCC. The FRN obviates the need for individuals to provide additional PII so that the OET staff can process the applications.

5.36 Will the information system that is covered by this system of records notice (SORN) include a capability to identify, locate, and/or monitor individuals?

- Yes
 No

Please explain your response:

The Experimental Radio Station License Files information system purpose is to use the information that individuals provide on their applications for Experimental Radio Station License Files to determine:

- (1) An applicant's eligibility to operate a station in the experimental radio service;
- (2) Interference potential to other radio services within the FCC; and
- (3) If the project or experimentation is valid, as well as the possible use in rulemakings.

If the information system does not include any monitoring capabilities, please skip to **Section 6.0 Information Collection Requirements under the Paperwork Reduction Act (PRA):**

5.37 If the information system includes these technical capabilities identified in Questions 5.34 through 5.36 above, what kinds of information will be collected as a function of the monitoring of individuals?

5.38 Does the information system covered by this system of records notice (SORN) contain any controls, policies, and procedures to prevent unauthorized monitoring?

- Yes
 No

Please explain your response:

Section 6.0 Information Collection Requirements under the Paperwork Reduction Act (PRA):

6.1 Does this system of records notice (SORN) require non-FCC employees and contractors to perform any paperwork or recordkeeping activities?

- Yes, individuals, who are not FCC employees or contractors, are required to complete paperwork or recordkeeping functions or activities, *i.e.*, fill out forms and/or licenses, participate in surveys, and or maintain records *etc.*

Please explain your response:

The Experimental Radio Station License Files information system, including the PII that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, uses FCC Forms 159 (debt payments), 405, 442, 702, and 703 for applicants to apply for and/or to renew their station licenses, renews, and/or authorizations, *etc.*

- No, individuals, who are not FCC employees or contractors, are not required to perform any paperwork or recordkeeping functions or activities

Please explain your response:

- No, this system of records notice includes only FCC employees and/or contractors, which exempts it from the PRA. Please skip to **Section 7.0 Correction and Redress**:

6.2 If the website requests information, such as the information necessary to complete an FCC form, license, authorization, *etc.*, has the information collection covered by this system of records notice (SORN) been identified for possible inclusion under the FCC's Paperwork Reduction Act (PRA) requirements?

- Yes
 No

Please explain your response:

FCC Forms 159, 405, 442, 702, and 703 have been approved by the Office of Management and Budget (OMB) as part of the FCC's information collection budget as required by the Paperwork Reduction Act.

If there are no PRA information collections associated with the information system or its applications, please skip to **Section 7.0 Correction and Redress**:

6.3 If there are one or more PRA information collections that are covered by this system of records notice (SORN) that are associated with the information system's databases and paper files, please list the OMB Control Number, Title of the collection, and Form number(s) as applicable for the information collection(s):

3060-0589, FCC Remittance Advice Forms, FCC Forms 159 and 159-C; Bill for Collection, FCC Form 159-B; and Remittance Voucher, FCC Form 159-E;

3060-0093, Application for Renewal of Radio Station License for Experimental Radio Service, FCC Form 405;

3060-0065, Application for New or Modified Radio Station Authorization under Part 5 of FCC Rules, Experimental Radio Service (Other than Broadband), FCC Form 442;

3060-0068, Application for Consent to Assign an Experimental Authorization or License, FCC Form 702; and

3060-0053, Application for Consent to Transfer Control of Corporation Holding Station License, FCC Form 703.

6.4 If there are any FCC forms associated with the information system(s) covered by this system of records notice (SORN), do the forms carry the Privacy Act notice?

- Yes: FCC Forms 159, 405, 442, 702, and 703 each have a Privacy Act notice.
 No
 Not applicable—the information collection does not include any forms.

6.5 Have the system managers contacted the Performance Evaluation and Records Management (PERM) staff to coordinate PRA requirements and submission of the information collection to the Office of Management and Budget?

- Yes
 No

Please explain your response:

The OET staff has coordinated the PRA requirements with PERM.

Section 7.0 Correction and Redress:

7.1 Are the procedures for individuals wishing to inquire whether this system of records notice (SORN) contains information about them consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.554 – 0.555 for the Privacy Act and Freedom of Information Act (FOIA) requirements?

- Yes
- No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

Individuals wishing to inquire whether the Experimental Radio Station License Files information system, which is covered by the FCC/OET-1, “Experimental Radio Station License Files” SORN, contains information about them may address their inquiries to the system manager in the Office of Engineering and Technology (OET). This is consistent with FCC rules under 47 CFR §§ 0.554 – 0.555 for the Privacy Act, as noted in this SORN.

7.2 Are the procedures for individuals to gain access to their own records/information/data in this information system that is covered by this system of records notice (SORN) consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.554 – 0.555 for the Privacy Act and Freedom of Information Act (FOIA) requirements?

- Yes
- No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

Individuals who seek access to the information about them that is contained in the Experimental Radio Station License Files information system, and which is covered by FCC/OET-1, “Experimental Radio Station License Files” SORN, may address their inquiries to the system manager in the Office of Engineering and Technology (OET). This is consistent with FCC policies and rules under 47 CFR §§ 0.554 – 0.555, as noted in the SORN.

7.3 Are the procedures for individuals seeking to correct or to amend records/information/data about them in the information system that is covered by this system of records notice (SORN) consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.556 – 0.558?

- Yes
- No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

Individuals seeking to correct or to amend information about them in the Experimental Radio Station License Files information system, which is covered by FCC/OET-1, “Experimental Radio Station License Files” SORN, may address their inquiries to the system manager in the Office of Engineering and Technology (OET). This is consistent with FCC policies and rules under 47 CFR §§ 0.556 – 0.558, as noted in the SORN.

7.4 Does the FCC provide any redress to amend or correct information about an individual covered by this system of records notice (SORN), and if so, what alternatives are available to the individual, and are these consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.556 – 0.558?

- Yes
 No

Please explain your response:

Individuals seeking any redress to amend or to correct information about them in the Experimental Radio Station License Files information system, which is covered by FCC/OET-1, “Experimental Radio Station License Files” SORN, may address their inquiries to the system manager in the Office of Engineering and Technology (OET). This is consistent with FCC policies and rules under 47 CFR §§ 0.556 – 0.558, as noted in the SORN.

If this is a new system of records notice (SORN), please skip to Question 7.6.

7.5 Have the sources for the categories of records in the information system(s) covered by this system of records notice (SORN) changed?

- Yes
 No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

The sources for the categories of records in the Experimental Radio Station License Files information system, including the PII that is covered by FCC/OET-1, “Experimental Radio Station License Files” SORN, remain unchanged. These record sources are:

- (1) Information that individual applicants may provide on one or more FCC forms, any supporting exhibits submitted by the applicants and/or licensees, and related documentation:
 - (a) FCC Form 405, Application for Renewal of Station License;
 - (b) FCC Form 442, Application for a New or Modified Station;
 - (c) FCC Form 702, Application for Consent to Assignment of Radio Station Construction Authorization or License;
 - (d) FCC Form 703, Application for Consent to Transfer Control of Corporation Holding Station License;
 - (e) Special Temporary Authority (STA) under 47 C.F.R. § 5.61 of FCC Rules; and
 - (f) Any supporting documentation submitted by the applicants and licensees.
- (2) Personally identifiable information (PII) included in experimental project reports submitted by the applicant or licensees as required by 47 C.F.R. Part 5 of FCC rules; and
- (3) Other information comes from coordination with other FCC bureaus and offices from the data that are generated with the Spectrum Coordination Branch of OET during normal application processing.

7.6 Does this system of records notice (SORN) claim any exemptions to the notification, access, and correction, and/or amendment procedures as they apply to individuals seeking information about them in this SORN, and if so, are these exemptions consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.561?

- Yes
- No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

FCC/OET-1, "Experimental Radio Station License Files" SORN does not claim any exemption to the notification, access, and correction, and/or amendment procedures as they apply to individuals seeking information about themselves in this SORN.

7.7 What processes are in place to monitor and to respond to privacy and/or security incidents? Please specify what is changing if this is an existing system of records notice (SORN) that is being updated or revised?

The OET supervisors issue periodic reminders to their employees and contractors that the information in the Experimental Radio Station License Files information system's electronic records and paper files, including the PII that is covered by FCC/OET-1, "Experimental Radio Station License Files" SORN, is "non public for internal use only." The OET supervisors also notify those granted access to the information that they are to keep the information confidential and to safeguard any printed materials.

7.8 How often is the information system audited to ensure compliance with FCC and OMB regulations and to determine new needs?

- Six months or less
- One year
- Two years
- Three years
- Four years
- Five years
- Other audit scheduling procedure(s): OET reviews components of the Experimental Radio Station License Files information system as part of the bureau's Paperwork Reduction Act (PRA) review of its information collections.

Section 8.0 Consumer Satisfaction:

8.1 Is there a customer satisfaction survey included as part of the public access to the information covered by this system of records notice (SORN)?

- Yes
- No
- Not applicable

Please explain your response:

If there are no Consumer Satisfaction requirements, please skip to **Section 9.0 Risk Assessment and Mitigation:**

8.2 Have any potential Paperwork Reduction Act (PRA) issues been addressed prior to implementation of the customer satisfaction survey?

- Yes
- No

Please explain your response:

If there are no PRA issues, please skip to **Section 9.0 Risk Assessment and Mitigation:**

8.3 If there are PRA issues, were these issues addressed in the PRA component of this PIA template?

- Yes
- No

Please explain your response:

Section 9.0 Risk Assessment and Mitigation:

9.1 What are the potential privacy risks for the information covered by this system of records notice (SORN), and what practices and procedures have you adopted to minimize them?

Risks:	Mitigating factors:
a. Some of the information in the Experimental Radio Station License Files information system's personally identifiable information (PII) is contained in electronic records and data, including scanned materials, which are stored in the OET computer network databases.	a. PII that is contained in the electronic records is protected in the OET computer network databases, which require users to provide log-ins, passwords, and other access rights to these records.
b. Some of the information in the Experimental Radio Station License Files information system's personally identifiable information (PII) is contained in paper documents and records that are stored in the file cabinets.	b. PII that is contained in the paper document and records is maintained in file cabinets in the "non public" areas in the OET office suite.
c. Individuals who file applications on FCC Form 405, 442, 702, and/or 703 using the OET Experimental Radio Station License Files Electronic Filing World Wide Web site are members of the public-at-large. The FCC may need to verify that applications and the accompanying documentation are valid.	c. The OET reviews each application, including FCC Form 405, 442, 702, and/or 703 and supporting documentation to insure that the application and the accompanying materials meet the criteria for FCC approval of the Experimental Radio Station License Files. Failure to comply with the FCC regulations will result in the application's dismissal.

9.2 What is the projected production/implementation date for the information system(s):

Initial implementation: April 2006

Secondary implementation: May 2009

Tertiary implementation:

Other implementation:

9.3 Are there any ancillary and/or auxiliary information system(s) applications linked to this information system that is covered by this system of records notice (SORN), which may also require a Privacy Impact Assessment (PIA)?

Yes

No

If so, please state the application(s), if a Privacy Impact Assessment (PIA) has been done, and the completion date for PIA:

At this time, the Office of Engineering and Technology (OET) staff does not anticipate that there will be any new ancillary or auxiliary information systems linked to the Experimental Radio Station License Files information system.