

Attachment 4
Privacy Impact Assessments (PIAs)

NIH NCI California Health Interview Survey (CHIS)
Information Technology System – Page 1

NIH NCI California Health Interview Survey Cancer
Control Module (CHIS-CCM) 2009 – Page 17

06.1 HHS Privacy Impact Assessment (Form) / NIH NCI California Health Interview Survey (CHIS) Information Technology System (Item)

Primavera
ProSight

Form Report, printed by: Milliard, Suzanne, Oct 5, 2010

PIA SUMMARY

1

The following required questions with an asterisk (*) represent the information necessary to complete the PIA Summary for transmission to the Office of Management and Budget (OMB) and public posting in accordance with OMB Memorandum (M) 03-22.

Note: If a question or its response is not applicable, please answer "N/A" to that question where possible. If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of personally identifiable information (PII). If no PII is contained in the system, please answer questions in the PIA Summary Tab and then promote the PIA to the Senior Official for Privacy who will authorize the PIA. If this system contains PII, all remaining questions on the PIA Form Tabs must be completed prior to signature and promotion.

2 Summary of PIA Required Questions

*Is this a new PIA?

No

If this is an existing PIA, please provide a reason for revision:

PIA Validation

*1. Date of this Submission:

Jul 30, 2010

*2. OPDIV Name:

NIH

*4. Privacy Act System of Records Notice (SORN) Number (If response to Q.21 is Yes, a SORN number is required for Q.4):

N/A

*5. OMB Information Collection Approval Number:

0925-0598

*6. Other Identifying Number(s):

N02-PC-54400

*7. System Name (Align with system item name):

California Health Interview Survey (CHIS) Information Technology System

*9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed:

Point of Contact Information	
POC Name	Nancy Breen - NCI /Sansan Lin - UCLA

*10. Provide an overview of the system:

The California Health Interview Survey (CHIS) is a population-based random-digit dial telephone survey of California's population conducted every other year since 2001 by the UCLA Center for Health Policy Research (UCLA-CHPR). UCLA-CHPR has the lead responsibility of managing the survey, preparing, maintaining, and disseminating the CHIS data files, reporting the survey findings, and disseminating the survey results. All CHIS confidential data files are maintained at the Data Access Center (DAC). No PII is contained with the CHIS confidential data files. The Data Access Center is designed to provide access to CHIS confidential files in a secured, controlled environment that protects the confidentiality of respondents.

*13. Indicate if the system is new or an existing one being modified:

New

*17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?

TIP: If the answer to Question 17 is "No" (indicating the system does not contain PII), only the remaining PIA Summary tab questions need to be completed and submitted. If the system does contain PII, the full PIA must be completed and submitted. (Although note that "Employee systems," - i.e., systems that

collect PII “permitting the physical or online contacting of a specific individual ... employed [by] the Federal Government – only need to complete the PIA Summary tab.)
No
17a. Is this a GSS PIA included for C&A purposes only, with no ownership of underlying application data? If the response to Q.17a is Yes, the response to Q.17 should be No and only the PIA Summary must be completed.
*19. Are records on the system retrieved by 1 or more PII data elements?
No
*21. Is the system subject to the Privacy Act? (If the response to Q.19 is Yes, the response to Q.21 must be Yes and a SORN number is required for Q.4)
No
*23. If the system shares or discloses PII, please specify with whom and for what purpose(s):
No PII in the system.
*30. Please describe in detail: (1) The information the agency will collect, maintain, or disseminate (clearly state if the information contained in the system ONLY represents federal contact data); (2) Why and for what purpose the agency will use the information; (3) Explicitly indicate whether the information contains PII; and (4) Whether submission of personal information is voluntary or mandatory:
All data received by UCLA-CHPR is in the de-identified form with all personal identifiers removed. All research participants provide verbal consent to participate in CHIS. The verbal consent script for each CHIS survey is approved by the UCLA Institutional Review Board and the California Health & Human Services Committee for the Protection of Human Services. The consent script informs respondents about the voluntary and confidential nature of the survey and assures them that their individual answers would not be linked to their identity or disclosed. There is no PII in the system. All data is given voluntarily by respondents.
*31. Please describe in detail any processes in place to: (1) Notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) Notify and obtain consent from individuals regarding what PII is being collected from them; and (3) How the information will be used or shared. (Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]):
No PII in the system.
*32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII)
No
*37. Does the website have any information or pages directed at children under the age of thirteen?
Not Applicable
*50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN)
Not Applicable
*54. Briefly describe in detail how the PII will be secured on the system using administrative, technical, and physical controls:
No PII in the system.

PIA REQUIRE INFORMATION

1 HHS Privacy Impact Assessment (PIA)

The PIA determines if Personally Identifiable Information (PII) is contained within a system, what kind of PII, what is done with that information, and how that information is protected. Systems with PII are subject to an extensive list of requirements based on privacy laws, regulations, and guidance. The HHS Privacy Act Officer may be contacted for issues related to Freedom of Information Act (FOIA) and the Privacy Act. Respective Operating Division (OPDIV) Privacy Contacts may be contacted for issues related to the Privacy Act. The Office of the Chief Information Officer (OCIO) can be used as a resource for questions related to the administrative, technical, and physical controls of the system. Please note that answers to questions with an asterisk (*) will be submitted to the Office of Management and Budget (OMB) and made publicly available in accordance with OMB Memorandum (M) 03-22.

Note: If a question or its response is not applicable, please answer "N/A" to that question where possible.

2 General Information

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PIA Validation

*1. Date of this Submission:

Jul 30, 2010

*2. OPDIV Name:

NIH

3. Unique Project Identifier (UPI) Number for current fiscal year (Data is auto-populated from the System Inventory form, UPI table):

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0925-0598

5a. OMB Collection Approval Number Expiration Date:

Feb 28, 2011

*6. Other Identifying Number(s):

N02-PC-54400

*7. System Name: (Align with system item name)

California Health Interview Survey (CHIS) Information Technology System

8. System Location: (OPDIV or contractor office building, room, city, and state)

System Location:	
OPDIV or contractor office building	UCLA Center for Health Policy Research, 10960 Wilshire Blvd.
Room	Suite 1550
City	Los Angeles
State	California

*9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed:

Point of Contact Information	
POC Name	Nancy Breen - NCI /Sansan Lin - UCLA

The following information will not be made publicly available:

POC Title	Health Research Privacy Compliance Coordinator
POC Organization	UCLA Center for Health Policy Research
POC Phone	310-794-8362
POC Email	sslin@ucla.edu

**10. Provide an overview of the system: (Note: The System Inventory form can provide additional information for child dependencies if the system is a GSS)*

The California Health Interview Survey (CHIS) is a population-based random-digit dial telephone survey of California's population conducted every other year since 2001 by the UCLA Center for Health Policy Research (UCLA-CHPR). UCLA-CHPR has the lead responsibility of managing the survey, preparing, maintaining, and disseminating the CHIS data files, reporting the survey findings, and disseminating the survey results. All CHIS confidential data files are maintained at the Data Access Center (DAC). No PII is contained with the CHIS confidential data files. The Data Access Center is designed to provide access to CHIS confidential files in a secured, controlled environment that protects the confidentiality of respondents.

SYSTEM CHARACTERIZATION AND DATA CATEGORIZATION

1 System Characterization and Data Configuration

11. Does HHS own the system?

11a. If no, identify the system owner:

12. Does HHS operate the system? (If the system is operated at a contractor site, the answer should be No)

12a. If no, identify the system operator:

*13. Indicate if the system is new or an existing one being modified:

New

14. Identify the life-cycle phase of this system:

15. Have any of the following major changes occurred to the system since the PIA was last submitted?

Please indicate "Yes" or "No" for each category below:	Yes/No
Conversions	
Anonymous to Non-Anonymous	
Significant System Management Changes	
Significant Merging	
New Public Access	
Commercial Sources	
New Interagency Uses	
Internal Flow or Collection	
Alteration in Character of Data	

16. Is the system a General Support System (GSS), Major Application (MA), Minor Application (child) or Minor Application (stand-alone)?

Minor Application (child)

*17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?

No

TIP: If the answer to Question 17 is "No" (indicating the system does not contain PII), only the remaining PIA Summary tab questions need to be completed and submitted. If the system does contain PII, the full PIA must be completed and submitted. (Although note that "Employee systems," – i.e., systems that collect PII "permitting the physical or online contacting of a specific individual ... employed [by] the Federal Government – only need to complete the PIA Summary tab.)

Please indicate "Yes" or "No" for each PII category. If the applicable PII category is not listed, please use the Other field to identify the appropriate category of PII.

Categories:	Yes/No
Name (for purposes other than contacting federal employees)	

Date of Birth	
Social Security Number (SSN)	
Photographic Identifiers	
Driver's License	
Biometric Identifiers	
Mother's Maiden Name	
Vehicle Identifiers	
Personal Mailing Address	
Personal Phone Numbers	
Medical Records Numbers	
Medical Notes	
Financial Account Information	
Certificates	
Legal Documents	
Device Identifiers	
Web Uniform Resource Locator(s) (URL)	
Personal Email Address	
Education Records	
Military Status	
Employment Status	
Foreign Activities	
Other	

17a. Is this a GSS PIA included for C&A purposes only, with no ownership of underlying application data? If the response to Q.17a is Yes, the response to Q.17 should be No and only the PIA Summary must be completed.

18. Please indicate the categories of individuals about whom PII is collected, maintained, disseminated and/or passed through. Note: If the applicable PII category is not listed, please use the Other field to identify the appropriate category of PII. Please answer "Yes" or "No" to each of these choices (NA in other is not applicable).

Categories:	Yes/No
Employees	
Public Citizen	
Patients	
Business partners/contacts (Federal, state, local agencies)	
Vendors/Suppliers/Contractors	
Other	

*19. Are records on the system retrieved by 1 or more PII data elements?

No

Please indicate "Yes" or "No" for each PII category. If the applicable PII category is not listed, please use the Other field to identify the appropriate category of PII.

Categories:	Yes/No
Name (for purposes other than contacting federal employees)	
Date of Birth	
SSN	
Photographic Identifiers	
Driver's License	
Biometric Identifiers	
Mother's Maiden Name	
Vehicle Identifiers	
Personal Mailing Address	
Personal Phone Numbers	
Medical Records Numbers	
Medical Notes	
Financial Account Information	
Certificates	
Legal Documents	
Device Identifiers	
Web URLs	
Personal Email Address	
Education Records	
Military Status	
Employment Status	
Foreign Activities	
Other	

20. Are 10 or more records containing PII maintained, stored or transmitted/passed through this system?

*21. Is the system subject to the Privacy Act? (If the response to Q. 19 is Yes, the response to Q.21 must be Yes and a SORN number is required for Q.4)

No

21a. If yes but a SORN has not been created, please provide an explanation.

INFORMATION SHARING PRACTICES

1 Information Sharing Practices

22. Does the system share or disclose PII with other divisions within this agency, external agencies, or other people or organizations outside the agency?

Please indicate "Yes" or "No" for each category below:	Yes/No
Name (for purposes other than contacting federal employees)	
Date of Birth	
SSN	
Photographic Identifiers	
Driver's License	
Biometric Identifiers	
Mother's Maiden Name	
Vehicle Identifiers	
Personal Mailing Address	
Personal Phone Numbers	
Medical Records Numbers	
Medical Notes	
Financial Account Information	
Certificates	
Legal Documents	
Device Identifiers	
Web URLs	
Personal Email Address	
Education Records	
Military Status	
Employment Status	
Foreign Activities	
Other	

*23. If the system shares or discloses PII please specify with whom and for what purpose(s):

No PII in the system.

24. If the PII in the system is matched against PII in one or more other computer systems, are computer data matching agreement(s) in place?

25. Is there a process in place to notify organizations or systems that are dependent upon the PII contained in this system when major changes occur (i.e., revisions to PII, or when the system is replaced)?

26. Are individuals notified how their PII is going to be used?

26a. If yes, please describe the process for allowing individuals to have a choice. If no, please provide an explanation.

27. Is there a complaint process in place for individuals who believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate?

27a. If yes, please describe briefly the notification process. If no, please provide an explanation.

28. Are there processes in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy and relevancy?

28a. If yes, please describe briefly the review process. If no, please provide an explanation.

29. Are there rules of conduct in place for access to PII on the system?

Please indicate "Yes," "No," or "N/A" for each category. If yes, briefly state the purpose for each user to have access:

Users with access to PII	Yes/No/N/A	Purpose
User		
Administrators		
Developers		
Contractors		
Other		

*30. Please describe in detail: (1) The information the agency will collect, maintain, or disseminate (clearly state if the information contained in the system ONLY represents federal contact data); (2) Why and for what purpose the agency will use the information; (3) Explicitly indicate whether the information contains PII; and (4) Whether submission of personal information is voluntary or mandatory:

All data received by UCLA-CHPR is in the de-identified form with all personal identifiers removed. All research participants provide verbal consent to participate in CHIS. The verbal consent script for each CHIS survey is approved by the UCLA Institutional Review Board and the California Health & Human Services Committee for the Protection of Human Services. The consent script informs respondents about the voluntary and confidential nature of the survey and assures them that their individual answers would not be linked to their identity or disclosed. There is no PII in the system. All data is given voluntarily by respondents.

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No PII in the system.

WEBSITE HOSTING PRACTICES

1 Website Hosting Practices

*32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII)

No

Please indicate "Yes" or "No" for each type of site below. If the system hosts both Internet and Intranet sites, indicate "Yes" for "Both" only.	Yes/ No	If the system hosts an Internet site, please enter the site URL. Do not enter any URL(s) for Intranet sites.
Internet		
Intranet		
Both		

33. Does the system host a website that is accessible by the public and does not meet the exceptions listed in OMB M-03-22?

Note: OMB M-03-22 Attachment A, Section III, Subsection C requires agencies to post a privacy policy for websites that are accessible to the public, but provides three exceptions: (1) Websites containing information other than "government information" as defined in OMB Circular A-130; (2) Agency intranet websites that are accessible only by authorized government users (employees, contractors, consultants, fellows, grantees); and (3) National security systems defined at 40 U.S.C. 11103 as exempt from the definition of information technology (see section 202(i) of the E-Government Act).

34. If the website does not meet one or more of the exceptions described in Q. 33 (i.e., response to Q. 33 is "Yes"), a website privacy policy statement (consistent with OMB M-03-22 and Title II and III of the E-Government Act) is required. Has a website privacy policy been posted?

35. If a website privacy policy is required (i.e., response to Q. 34 is "Yes"), is the privacy policy in machine-readable format, such as Platform for Privacy Preferences (P3P)?

35a. If no, please indicate when the website will be P3P compliant:

36. Does the website employ tracking technologies?

Please indicate "Yes", "No", or "N/A" for each type of cookie below:	Yes/No/N/A
Web Bugs	
Web Beacons	
Session Cookies	
Persistent Cookies	
Other	

*37. Does the website have any information or pages directed at children under the age of thirteen?

Not Applicable

37a. If yes, is there a unique privacy policy for the site, and does the unique privacy policy address the process for obtaining parental consent if any information is collected?

38. Does the website collect PII from individuals?

Please indicate “Yes” or “No” for each category below:	Yes/No
Name (for purposes other than contacting federal employees)	
Date of Birth	
SSN	
Photographic Identifiers	
Driver's License	
Biometric Identifiers	
Mother's Maiden Name	
Vehicle Identifiers	
Personal Mailing Address	
Personal Phone Numbers	
Medical Records Numbers	
Medical Notes	
Financial Account Information	
Certificates	
Legal Documents	
Device Identifiers	
Web URLs	
Personal Email Address	
Education Records	
Military Status	
Employment Status	
Foreign Activities	
Other	

39. Are rules of conduct in place for access to PII on the website?

40. Does the website contain links to sites external to HHS that owns and/or operates the system?

40a. If yes, note whether the system provides a disclaimer notice for users that follow external links to websites not owned or operated by HHS.

ADMINISTRATIVE CONTROLS

1 Administrative Controls

Note: This PIA uses the terms "Administrative," "Technical" and "Physical" to refer to security control questions—terms that are used in several Federal laws when referencing security requirements.

41. Has the system been certified and accredited (C&A)?

41a. If yes, please indicate when the C&A was completed (Note: The C&A date is populated in the System Inventory form via the responsible Security personnel):

41b. If a system requires a C&A and no C&A was completed, is a C&A in progress?

42. Is there a system security plan for this system?

43. Is there a contingency (or backup) plan for the system?

44. Are files backed up regularly?

45. Are backup files stored offsite?

46. Are there user manuals for the system?

47. Have personnel (system owners, managers, operators, contractors and/or program managers) using the system been trained and made aware of their responsibilities for protecting the information being collected and maintained?

48. If contractors operate or use the system, do the contracts include clauses ensuring adherence to privacy provisions and practices?

49. Are methods in place to ensure least privilege (i.e., "need to know" and accountability)?

49a. If yes, please specify method(s):

*50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

Not Applicable

50a. If yes, please provide some detail about these policies/practices:

TECHNICAL CONTROLS

1 Technical Controls

51. Are technical controls in place to minimize the possibility of unauthorized access, use, or dissemination of the data in the system?

Please indicate "Yes" or "No" for each category below:	Yes/No
User Identification	
Passwords	
Firewall	
Virtual Private Network (VPN)	
Encryption	
Intrusion Detection System (IDS)	
Common Access Cards (CAC)	
Smart Cards	
Biometrics	
Public Key Infrastructure (PKI)	

52. Is there a process in place to monitor and respond to privacy and/or security incidents?

52a. If yes, please briefly describe the process:

PHYSICAL ACCESS

1 Physical Access

53. Are physical access controls in place?

Please indicate "Yes" or "No" for each category below:	Yes/No
Guards	
Identification Badges	
Key Cards	
Cipher Locks	
Biometrics	
Closed Circuit TV (CCTV)	

*54. Briefly describe in detail how the PII will be secured on the system using administrative, technical, and physical controls:

No PII in the system.

APPROVAL/DEMOTION

1 System Information

System Name: California Health Interview Survey (CHIS) Information Technology System

2 PIA Reviewer Approval/Promotion or Demotion

Promotion/Demotion: Promote

Comments:

Approval/Demotion Point of Contact: Suzy Milliard

Date: Jul 30, 2010

3 Senior Official for Privacy Approval/Promotion or Demotion

Promotion/Demotion: Promote

Comments:

4 OPDIV Senior Official for Privacy or Designee Approval

Please print the PIA and obtain the endorsement of the reviewing official below. Once the signature has been collected, retain a hard copy for the OPDIV's records. Submitting the PIA will indicate the reviewing official has endorsed it

This PIA has been reviewed and endorsed by the OPDIV Senior Official for Privacy or Designee (Name and Date):

Name: _____ Date: _____

Name:	Karen Plá
Date:	Sep 28, 2010

5 Department Approval to Publish to the Web

Approved for web publishing Yes

Date Published: Sep 1, 2009

Publicly posted PIA URL or no PIA URL explanation:

PIA % COMPLETE

1 PIA Completion	
PIA Percentage Complete:	100.00
PIA Missing Fields:	

Form Report, printed by: Milliard, Suzanne, Oct 5, 2010

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NIH NCI California Health Interview Survey Cancer Control Module (CHIS-CCM) 2009

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Point of Contact Information	
POC Name	Nancy Breen

*10. Provide an overview of the system:

IMS is contracted by NCI to maintain CHIS microdata in a secure environment. There is no identifying information in the data. CHIS data include a range of cancer control variables for respondents including use of cancer screening, and a wide range of socio-demographic variables including health insurance status, usual source of health care. NCI analysts examine statistical patterns and trends in cancer control outcomes in California using CHIS. IMS staff develop programs to conduct statistical analyses as specified by NCI researchers.

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1) IMS is under contract with NCI to maintain CHIS microdata files as needed for analysis by NCI. IMS programmers and statisticians work under contract with NCI staff to help with programming and statistical analysis as specified by NCI staff. 2) NCI uses CHIS data to conduct statistical analysis of cancer control outcomes. These include use of cancer screening services, patterns and trends in tobacco use, physical activity and other cancer-control related behaviors. 3) No PII in the system. 4) No PII in the system.
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N02-PC-54400

*7. System Name: (Align with system item name)

NIH NCI California Health Interview Survey Cancer Control Module (CHIS-CCM) 2009

8. System Location: (OPDIV or contractor office building, room, city, and state)

System Location:	
OPDIV or contractor office building	12501 Prosperity Drive
Room	Suite 200 - Server Room
City	Silver Spring
State	MD

*9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed:

Point of Contact Information	
POC Name	Nancy Breen

The following information will not be made publicly available:

POC Title	Project Officer
POC Organization	NCI/DCCPS/ARP/HSEB
POC Phone	301-496-4675
POC Email	breenn@mail.nih.gov

**10. Provide an overview of the system: (Note: The System Inventory form can provide additional information for child dependencies if the system is a GSS)*

IMS is contracted by NCI to maintain CHIS microdata in a secure environment. There is no identifying information in the data. CHIS data include a range of cancer control variables for respondents including use of cancer screening, and a wide range of socio-demographic variables including health insurance status, usual source of health care. NCI analysts examine statistical patterns and trends in cancer control outcomes in California using CHIS. IMS staff develop programs to conduct statistical analyses as specified by NCI researchers.

SYSTEM CHARACTERIZATION AND DATA CATEGORIZATION

1 System Characterization and Data Configuration

11. Does HHS own the system?

11a. If no, identify the system owner:

12. Does HHS operate the system? (If the system is operated at a contractor site, the answer should be No)

12a. If no, identify the system operator:

*13. Indicate if the system is new or an existing one being modified:

Existing

14. Identify the life-cycle phase of this system:

15. Have any of the following major changes occurred to the system since the PIA was last submitted?

Please indicate "Yes" or "No" for each category below:	Yes/No
Conversions	
Anonymous to Non-Anonymous	
Significant System Management Changes	
Significant Merging	
New Public Access	
Commercial Sources	
New Interagency Uses	
Internal Flow or Collection	
Alteration in Character of Data	

16. Is the system a General Support System (GSS), Major Application (MA), Minor Application (child) or Minor Application (stand-alone)?

Minor Application (child)

*17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?

No

TIP: If the answer to Question 17 is "No" (indicating the system does not contain PII), only the remaining PIA Summary tab questions need to be completed and submitted. If the system does contain PII, the full PIA must be completed and submitted. (Although note that "Employee systems," – i.e., systems that collect PII "permitting the physical or online contacting of a specific individual ... employed [by] the Federal Government – only need to complete the PIA Summary tab.)

Please indicate "Yes" or "No" for each PII category. If the applicable PII category is not listed, please use the Other field to identify the appropriate category of PII.

Categories:	Yes/No
Name (for purposes other than contacting federal employees)	

Date of Birth	
Social Security Number (SSN)	
Photographic Identifiers	
Driver's License	
Biometric Identifiers	
Mother's Maiden Name	
Vehicle Identifiers	
Personal Mailing Address	
Personal Phone Numbers	
Medical Records Numbers	
Medical Notes	
Financial Account Information	
Certificates	
Legal Documents	
Device Identifiers	
Web Uniform Resource Locator(s) (URL)	
Personal Email Address	
Education Records	
Military Status	
Employment Status	
Foreign Activities	
Other	

17a. Is this a GSS PIA included for C&A purposes only, with no ownership of underlying application data? If the response to Q.17a is Yes, the response to Q.17 should be No and only the PIA Summary must be completed.

18. Please indicate the categories of individuals about whom PII is collected, maintained, disseminated and/or passed through. Note: If the applicable PII category is not listed, please use the Other field to identify the appropriate category of PII. Please answer "Yes" or "No" to each of these choices (NA in other is not applicable).

Categories:	Yes/No
Employees	
Public Citizen	
Patients	
Business partners/contacts (Federal, state, local agencies)	
Vendors/Suppliers/Contractors	
Other	

*19. Are records on the system retrieved by 1 or more PII data elements?

No

Please indicate "Yes" or "No" for each PII category. If the applicable PII category is not listed, please use the Other field to identify the appropriate category of PII.

Categories:	Yes/No
Name (for purposes other than contacting federal employees)	
Date of Birth	
SSN	
Photographic Identifiers	
Driver's License	
Biometric Identifiers	
Mother's Maiden Name	
Vehicle Identifiers	
Personal Mailing Address	
Personal Phone Numbers	
Medical Records Numbers	
Medical Notes	
Financial Account Information	
Certificates	
Legal Documents	
Device Identifiers	
Web URLs	
Personal Email Address	
Education Records	
Military Status	
Employment Status	
Foreign Activities	
Other	

20. Are 10 or more records containing PII maintained, stored or transmitted/passed through this system?

*21. Is the system subject to the Privacy Act? (If the response to Q.19 is Yes, the response to Q.21 must be Yes and a SORN number is required for Q.4)

No

21a. If yes but a SORN has not been created, please provide an explanation.

INFORMATION SHARING PRACTICES

1 Information Sharing Practices

22. Does the system share or disclose PII with other divisions within this agency, external agencies, or other people or organizations outside the agency?

Please indicate "Yes" or "No" for each category below:	Yes/No
Name (for purposes other than contacting federal employees)	
Date of Birth	
SSN	
Photographic Identifiers	
Driver's License	
Biometric Identifiers	
Mother's Maiden Name	
Vehicle Identifiers	
Personal Mailing Address	
Personal Phone Numbers	
Medical Records Numbers	
Medical Notes	
Financial Account Information	
Certificates	
Legal Documents	
Device Identifiers	
Web URLs	
Personal Email Address	
Education Records	
Military Status	
Employment Status	
Foreign Activities	
Other	

*23. If the system shares or discloses PII please specify with whom and for what purpose(s):

N/A

24. If the PII in the system is matched against PII in one or more other computer systems, are computer data matching agreement(s) in place?

25. Is there a process in place to notify organizations or systems that are dependent upon the PII contained in this system when major changes occur (i.e., revisions to PII, or when the system is replaced)?

26. Are individuals notified how their PII is going to be used?

26a. If yes, please describe the process for allowing individuals to have a choice. If no, please provide an explanation.

27. Is there a complaint process in place for individuals who believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate?

27a. If yes, please describe briefly the notification process. If no, please provide an explanation.

28. Are there processes in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy and relevancy?

28a. If yes, please describe briefly the review process. If no, please provide an explanation.

29. Are there rules of conduct in place for access to PII on the system?

Please indicate "Yes," "No," or "N/A" for each category. If yes, briefly state the purpose for each user to have access:

Users with access to PII	Yes/No/N/A	Purpose
User		
Administrators		
Developers		
Contractors		
Other		

*30. Please describe in detail: (1) The information the agency will collect, maintain, or disseminate (clearly state if the information contained in the system ONLY represents federal contact data); (2) Why and for what purpose the agency will use the information; (3) Explicitly indicate whether the information contains PII; and (4) Whether submission of personal information is voluntary or mandatory:

1) IMS is under contract with NCI to maintain CHIS microdata files as needed for analysis by NCI. IMS programmers and statisticians work under contract with NCI staff to help with programming and statistical analysis as specified by NCI staff. 2) NCI uses CHIS data to conduct statistical analysis of cancer control outcomes. These include use of cancer screening services, patterns and trends in tobacco use, physical activity and other cancer-control related behaviors. 3) No PII in the system. 4) No PII in the system.

*31. Please describe in detail any processes in place to: (1) Notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) Notify and obtain consent from individuals regarding what PII is being collected from them; and (3) How the information will be used or shared. (Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]

No PII in the system.

WEBSITE HOSTING PRACTICES

1 Website Hosting Practices

*32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII)

No

Please indicate "Yes" or "No" for each type of site below. If the system hosts both Internet and Intranet sites, indicate "Yes" for "Both" only.	Yes/ No	If the system hosts an Internet site, please enter the site URL. Do not enter any URL(s) for Intranet sites.
Internet		
Intranet		
Both		

33. Does the system host a website that is accessible by the public and does not meet the exceptions listed in OMB M-03-22?

Note: OMB M-03-22 Attachment A, Section III, Subsection C requires agencies to post a privacy policy for websites that are accessible to the public, but provides three exceptions: (1) Websites containing information other than "government information" as defined in OMB Circular A-130; (2) Agency intranet websites that are accessible only by authorized government users (employees, contractors, consultants, fellows, grantees); and (3) National security systems defined at 40 U.S.C. 11103 as exempt from the definition of information technology (see section 202(i) of the E-Government Act).

34. If the website does not meet one or more of the exceptions described in Q. 33 (i.e., response to Q. 33 is "Yes"), a website privacy policy statement (consistent with OMB M-03-22 and Title II and III of the E-Government Act) is required. Has a website privacy policy been posted?

35. If a website privacy policy is required (i.e., response to Q. 34 is "Yes"), is the privacy policy in machine-readable format, such as Platform for Privacy Preferences (P3P)?

35a. If no, please indicate when the website will be P3P compliant:

36. Does the website employ tracking technologies?

Please indicate "Yes", "No", or "N/A" for each type of cookie below:	Yes/No/N/A
Web Bugs	
Web Beacons	
Session Cookies	
Persistent Cookies	
Other	

*37. Does the website have any information or pages directed at children under the age of thirteen?

No

37a. If yes, is there a unique privacy policy for the site, and does the unique privacy policy address the process for obtaining parental consent if any information is collected?

38. Does the website collect PII from individuals?

Please indicate “Yes” or “No” for each category below:	Yes/No
Name (for purposes other than contacting federal employees)	
Date of Birth	
SSN	
Photographic Identifiers	
Driver's License	
Biometric Identifiers	
Mother's Maiden Name	
Vehicle Identifiers	
Personal Mailing Address	
Personal Phone Numbers	
Medical Records Numbers	
Medical Notes	
Financial Account Information	
Certificates	
Legal Documents	
Device Identifiers	
Web URLs	
Personal Email Address	
Education Records	
Military Status	
Employment Status	
Foreign Activities	
Other	

39. Are rules of conduct in place for access to PII on the website?

40. Does the website contain links to sites external to HHS that owns and/or operates the system?

40a. If yes, note whether the system provides a disclaimer notice for users that follow external links to websites not owned or operated by HHS.

ADMINISTRATIVE CONTROLS

1 Administrative Controls

Note: This PIA uses the terms "Administrative," "Technical" and "Physical" to refer to security control questions—terms that are used in several Federal laws when referencing security requirements.

41. Has the system been certified and accredited (C&A)?

41a. If yes, please indicate when the C&A was completed (Note: The C&A date is populated in the System Inventory form via the responsible Security personnel):

41b. If a system requires a C&A and no C&A was completed, is a C&A in progress?

42. Is there a system security plan for this system?

43. Is there a contingency (or backup) plan for the system?

44. Are files backed up regularly?

45. Are backup files stored offsite?

46. Are there user manuals for the system?

47. Have personnel (system owners, managers, operators, contractors and/or program managers) using the system been trained and made aware of their responsibilities for protecting the information being collected and maintained?

48. If contractors operate or use the system, do the contracts include clauses ensuring adherence to privacy provisions and practices?

49. Are methods in place to ensure least privilege (i.e., "need to know" and accountability)?

49a. If yes, please specify method(s):

*50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

Not Applicable

50a. If yes, please provide some detail about these policies/practices:

TECHNICAL CONTROLS

1 Technical Controls

51. Are technical controls in place to minimize the possibility of unauthorized access, use, or dissemination of the data in the system?

Please indicate "Yes" or "No" for each category below:	Yes/No
User Identification	
Passwords	
Firewall	
Virtual Private Network (VPN)	
Encryption	
Intrusion Detection System (IDS)	
Common Access Cards (CAC)	
Smart Cards	
Biometrics	
Public Key Infrastructure (PKI)	

52. Is there a process in place to monitor and respond to privacy and/or security incidents?

52a. If yes, please briefly describe the process:

PHYSICAL ACCESS

1 Physical Access

53. Are physical access controls in place?

Please indicate "Yes" or "No" for each category below:	Yes/No
Guards	
Identification Badges	
Key Cards	
Cipher Locks	
Biometrics	
Closed Circuit TV (CCTV)	

*54. Briefly describe in detail how the PII will be secured on the system using administrative, technical, and physical controls:

No PII in the system.

APPROVAL/DEMOTION

1 System Information

System Name: NIH NCI California Health Interview Survey Cancer Control Module (CHIS-CCM) 2009

2 PIA Reviewer Approval/Promotion or Demotion

Promotion/Demotion: Promote

Comments:

Approval/Demotion Point of Contact: Suzy Milliard

Date: Jul 30, 2010

3 Senior Official for Privacy Approval/Promotion or Demotion

Promotion/Demotion: Promote

Comments:

4 OPDIV Senior Official for Privacy or Designee Approval

Please print the PIA and obtain the endorsement of the reviewing official below. Once the signature has been collected, retain a hard copy for the OPDIV's records. Submitting the PIA will indicate the reviewing official has endorsed it

This PIA has been reviewed and endorsed by the OPDIV Senior Official for Privacy or Designee (Name and Date):

Name: _____ Date: _____

Name:	Karen Plá
Date:	Sep 28, 2010

5 Department Approval to Publish to the Web

Approved for web publishing Yes

Date Published: Sep 1, 2009

Publicly posted PIA URL or no PIA URL explanation:

PIA % COMPLETE

1 PIA Completion	
PIA Percentage Complete:	100.00
PIA Missing Fields:	