

Privacy Impact Assessment Form

v 1.47.4

Status

Form Number

Form Date

Question

Answer

1 OPDIV:

2 PIA Unique Identifier:

2a Name:

3 The subject of this PIA is which of the following?

- General Support System (GSS)
 Major Application
 Minor Application (stand-alone)
 Minor Application (child)
 Electronic Information Collection
 Unknown

3a Identify the Enterprise Performance Lifecycle Phase of the system.

3b Is this a FISMA-Reportable system?

- Yes
 No

4 Does the system include a Website or online application available to and for the use of the general public?

- Yes
 No

5 Identify the operator.

- Agency
 Contractor

6 Point of Contact (POC):

POC Title

POC Name

POC Organization

POC Email

POC Phone

7 Is this a new or existing system?

- New
 Existing

8 Does the system have Security Authorization (SA)?

- Yes
 No

8b Planned Date of Security Authorization

 Not Applicable

11 Describe the purpose of the system. The purpose of the system is to evaluate the effectiveness of the second phase of NINR's pediatric palliative care communications campaign, Palliative Care: Conversations Matter®. This second phase evaluation involves collecting feedback from parents and caregivers to ensure that the campaign is effective, relevant, and useful for this specific audience. The data collection vendor, Edge Research, will program and deploy the online surveys through opt-in online survey sample providers and host a secure website for the survey administration. The sample size for the survey is approximately 150 individuals (parents and caregivers).

12 Describe the type of information the system will collect, maintain (store), or share. (Subsequent questions will identify if this information is PII and ask about the specific data elements.) The system will collect information on general awareness, knowledge, and perceptions of pediatric palliative care; awareness of the communications campaign and its materials; ~~behaviors related to seeking out pediatric palliative care~~

13 Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily. Information provided by respondents will be used only by the researchers conducting this study and will not be disclosed except as required by law. Respondents will not be asked any

14 Does the system collect, maintain, use or share PII? Yes
 No

15 Indicate the type of PII that the system will collect or maintain.
 Social Security Number Date of Birth
 Name Photographic Identifiers
 Driver's License Number Biometric Identifiers
 Mother's Maiden Name Vehicle Identifiers
 E-Mail Address Mailing Address
 Phone Numbers Medical Records Number
 Medical Notes Financial Account Info
 Certificates Legal Documents
 Education Records Device Identifiers
 Military Status Employment Status
 Foreign Activities Passport Number
 Taxpayer ID
Race
Ethnicity
Gender
Age Range

16 Indicate the categories of individuals about whom PII is collected, maintained or shared.
 Employees
 Public Citizens
 Business Partners/Contacts (Federal, state, local agencies)
 Vendors/Suppliers/Contractors
 Patients
Other

17 How many individuals' PII is in the system?

18	For what primary purpose is the PII used?	To better understand the audience for the Palliative Care: Conversations Matter campaign and identify any unmet needs in terms of audience and underserved populations.
19	Describe the secondary uses for which the PII will be used (e.g. testing, training or research)	N/A
20	Describe the function of the SSN.	N/A
20a	Cite the legal authority to use the SSN.	N/A
21	Identify legal authorities governing information use and disclosure specific to the system and program.	5USC 301, DR
22	Are records on the system retrieved by one or more PII data elements?	<input type="radio"/> Yes <input checked="" type="radio"/> No
23	Identify the sources of PII in the system.	<p>Directly from an individual about whom the information pertains</p> <ul style="list-style-type: none"><input type="checkbox"/> In-Person<input type="checkbox"/> Hard Copy: Mail/Fax<input type="checkbox"/> Email<input type="checkbox"/> Online<input type="checkbox"/> Other <p>Government Sources</p> <ul style="list-style-type: none"><input type="checkbox"/> Within the OPDIV<input type="checkbox"/> Other HHS OPDIV<input type="checkbox"/> State/Local/Tribal<input type="checkbox"/> Foreign<input type="checkbox"/> Other Federal Entities<input type="checkbox"/> Other <p>Non-Government Sources</p> <ul style="list-style-type: none"><input checked="" type="checkbox"/> Members of the Public<input type="checkbox"/> Commercial Data Broker<input type="checkbox"/> Public Media/Internet<input type="checkbox"/> Private Sector<input type="checkbox"/> Other
23a	Identify the OMB information collection approval number and expiration date.	OMB 0925-0683, Expiration 10/31/16.
24	Is the PII shared with other organizations?	<input type="radio"/> Yes <input checked="" type="radio"/> No
25	Describe the process in place to notify individuals that their personal information will be collected. If no prior notice is given, explain the reason.	There will be a note in the survey invitation.
26	Is the submission of PII by individuals voluntary or mandatory?	<input checked="" type="radio"/> Voluntary <input type="radio"/> Mandatory

27	Describe the method for individuals to opt-out of the collection or use of their PII. If there is no option to object to the information collection, provide a reason.	Survey respondents are not required to answer any of the questions, including those related to PII.										
28	Describe the process to 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 original collection). Alternatively, describe why they cannot be notified or have their consent obtained.	N/A. This is not a system. It is an electronic information collection.										
29	Describe the process in place to resolve an individual's concerns when they believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate. If no process exists, explain why not.	NINR will not have any contact with individual respondents. The survey will be deployed through a national sample and results will be reported in aggregate.										
30	Describe the process in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy and relevancy. If no processes are in place, explain why not.	No reviews are planned since NINR will not be looking at the data on an individual level.										
31	Identify who will have access to the PII in the system and the reason why they require access.	<table border="1"> <tr> <td data-bbox="717 785 951 856"><input type="checkbox"/> Users</td> <td data-bbox="951 785 1422 856"></td> </tr> <tr> <td data-bbox="717 856 951 928"><input type="checkbox"/> Administrators</td> <td data-bbox="951 856 1422 928"></td> </tr> <tr> <td data-bbox="717 928 951 999"><input type="checkbox"/> Developers</td> <td data-bbox="951 928 1422 999"></td> </tr> <tr> <td data-bbox="717 999 951 1071"><input checked="" type="checkbox"/> Contractors</td> <td data-bbox="951 999 1422 1071">Contractors are deploying the survey.</td> </tr> <tr> <td data-bbox="717 1071 951 1142"><input type="checkbox"/> Others</td> <td data-bbox="951 1071 1422 1142"></td> </tr> </table>	<input type="checkbox"/> Users		<input type="checkbox"/> Administrators		<input type="checkbox"/> Developers		<input checked="" type="checkbox"/> Contractors	Contractors are deploying the survey.	<input type="checkbox"/> Others	
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<input type="checkbox"/> Others												
32	Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.	Password protected logins are required to access information. The contractor limits access to files with PII to only those individuals who work on the account (approximately 4 people).										
33	Describe the methods in place to allow those with access to PII to only access the minimum amount of information necessary to perform their job.	Password protected logins are required to access information.										
34	Identify training and awareness provided to personnel (system owners, managers, operators, contractors and/or program managers) using the system to make them aware of their responsibilities for protecting the information being collected and maintained.	Privacy Act training is provided to all who would potentially have access to the database.										
35	Describe training system users receive (above and beyond general security and privacy awareness training).	N/A										
36	Do contracts include Federal Acquisition Regulation and other appropriate clauses ensuring adherence to privacy provisions and practices?	<input checked="" type="radio"/> Yes <input type="radio"/> No										

37 Describe the process and guidelines in place with regard to the retention and destruction of PII. Cite specific records retention schedules.	The contractor only retains its data to the extent necessary for each project. They do not reference personal information in any of their analyses or reporting. And they remove PII from their servers and network within 1 year of the close of the project.
38 Describe, briefly but with specificity, how the PII will be secured in the system using administrative, technical, and physical controls.	During a project, data files with PII are stored on a server that resides in a secure location. The contractor has firewalls in place and employs strong passwords on all company machines. The contractor workstations automatically log off after inactivity. In addition, they limit access to files with PII to only those individuals who work on the account.
General Comments	The system will collect demographic information such as age, sex, race/ethnicity. But none of this information will be collected in conjunction with other personally identifiable information such as name, social security number, physical address, or telephone number.
OPDIV Senior Official for Privacy Signature	