Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
202-343-1717, pia@dhs.gov
www.dhs.gov/privacy

Privacy Threshold Analysis
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PRIVACY THRESHOLD ANALYSIS (PTA)

**This form is used to determine whether
a Privacy Impact Assessment is required.**

Please use the attached form to determine whether a Privacy Impact Assessment (PIA) is required under the E-Government Act of 2002 and the Homeland Security Act of 2002.

Please complete this form and send it to your component Privacy Office. If you do not have a component Privacy Office, please send the PTA to the DHS Privacy Office:

Senior Director, Privacy Compliance
The Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
Tel: 202-343-1717

PIA@hq.dhs.gov

Upon receipt from your component Privacy Office, the DHS Privacy Office will review this form. If a PIA is required, the DHS Privacy Office will send you a copy of the Official Privacy Impact Assessment Guide and accompanying Template to complete and return.

A copy of the Guide and Template is available on the DHS Privacy Office website, www.dhs.gov/privacy, on DHSConnect and directly from the DHS Privacy Office via email: pia@hq.dhs.gov, phone: 202-343-1717.

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SUMMARY INFORMATION

Project or Program Name:	**Industry Outreach**		
Component:	Science and Technology (S&T)	**Office or Program:**	Public-Private Partnerships
Xacta FISMA Name (if applicable):	**NA**	**Xacta FISMA Number (if applicable):**	**NA**
Type of Project or Program:	**Form or other Information Collection**	**Project or program status:**	**Modification**
Date first developed:	**August 2, 2016**	**Pilot launch date:**	**September 19, 2016**
Date of last PTA update	Click here to enter a date.	**Pilot end date:**	Click here to enter a date.
ATO Status (if applicable)	Choose an item.	**ATO expiration date (if applicable):**	Click here to enter a date.

PROJECT OR PROGRAM MANAGER

Name:	**Dee Parker**		
Office:	**Public-Private Partnerships**	**Title:**	Industry Liaison
Phone:	**202.254. 6632**	**Email:**	Decemma.Parker@hq.dhs.gov

INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)

Name:	**Jameson O'Brien**		
Phone:	**202.254.8236**	**Email:**	Jameson.Obrien@st.dhs.gov

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SPECIFIC PTA QUESTIONS

1. Reason for submitting the PTA: Renewal PTA
DHS S&T proposes to collect private sector company information using an Industry Outreach Information Form. The information collected in this form would include: 1) Company name and address; 2) company classification (size and type); and 3) a description of the company's technology or technical capability, including the current state of the technology, its technology readiness level, and its manufacturing readiness level. This information collection would allow S&T to maintain awareness and knowledge of private sector companies and their technology products that may be of interest to S&T's research and development (R&D) programs. S&T will also use this information collection to inform its technology scouting function to discover technologies and capabilities of vendors/companies that are interested in working with S&T on current or future projects.

2. Does this system employ any of the following technologies:	
If you are using any of these technologies and want coverage under the respective PIA for that technology please stop here and contact the DHS Privacy Office for further guidance.	☐ Closed Circuit Television (CCTV) ☐ Social Media ☒ Web portal[1] (e.g., SharePoint) ☐ Contact Lists ☐ None of these
3. **From whom does the Project or Program collect, maintain, use, or disseminate information?** *Please check all that apply.*	☒ This program does not collect any personally identifiable information[2] ☐ Members of the public ☐ DHS employees/contractors (list components): ☐ Contractors working on behalf of DHS ☐ Employees of other federal agencies

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[1] Informational and collaboration-based portals in operation at DHS and its components that collect, use, maintain, and share limited personally identifiable information (PII) about individuals who are "members" of the portal or "potential members" who seek to gain access to the portal.

[2] DHS defines personal information as "Personally Identifiable Information" or PII, which is any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department. "Sensitive PII" is PII, which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. For the purposes of this PTA, SPII and PII are treated the same.

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4. **What specific information about individuals is collected, generated or retained?**

The DHS S&T Industry Outreach Information Form will collect information from private sector companies. The information to be collected includes:

- Name of Company
- General Phone Number
- General Mailing Address and Email Address

No specific information about individuals will be collected.

4(a) Does the project, program, or system retrieve information by personal identifier?	☒ No. Please continue to next question. ☐ Yes. If yes, please list all personal identifiers used:
4(b) Does the project, program, or system use Social Security Numbers (SSN)?	☒ No. ☐ Yes.
4(c) If yes, please provide the specific legal basis and purpose for the collection of SSNs:	Click here to enter text.
4(d) If yes, please describe the uses of the SSNs within the project, program, or system:	Click here to enter text.
4(e) If this project, program, or system is an information technology/system, does it relate solely to infrastructure? *For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)?*	☒ No. Please continue to next question. ☐ Yes. If a log kept of communication traffic, please answer the following question.
4(f) If header or payload data[3] is stored in the communication traffic log, please detail the data elements stored.	
Click here to enter text.	
5. **Does this project, program, or system connect, receive, or share PII with any other DHS programs or systems[4]?**	☒ No. ☐ Yes. If yes, please list:

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[3] When data is sent over the Internet, each unit transmitted includes both header information and the actual data being sent. The header identifies the source and destination of the packet, while the actual data is referred to as the payload. Because header information, or overhead data, is only used in the transmission process, it is stripped from the packet when it reaches its destination. Therefore, the payload is the only data received by the destination system.

[4] PII may be shared, received, or connected to other DHS systems directly, automatically, or by manual processes. Often, these systems are listed as "interconnected systems" in Xacta.

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	Click here to enter text.
6. Does this project, program, or system connect, receive, or share PII with any external (non-DHS) partners or systems?	☒ No. ☐ Yes. If yes, please list: Click here to enter text.
6(a) Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, LOI, etc.)?	*Choose an item.* Please describe applicable information sharing governance in place:
7. Does the project, program, or system provide role-based training for personnel who have access in addition to annual privacy training required of all DHS personnel?	☐ No. ☒ Yes. If yes, please list: User Training on the Contact Relationship Management (CRM) tool for storing and managing information.
8. Per NIST SP 800-53 Rev. 4, Appendix J, does the project, program, or system maintain an accounting of disclosures of PII to individuals who have requested access to their PII?	☒ No. What steps will be taken to develop and maintain the accounting. Do not anticipate such requests as no PII will be collected. ☐ Yes. In what format is the accounting maintained:
9. Is there a FIPS 199 determination?[4]	☐ Unknown. ☐ No. ☒ Yes. Please indicate the determinations for each of the following: Confidentiality: ☐ Low ☒ Moderate ☐ High ☐ Undefined Integrity: ☒ Low ☐ Moderate ☐ High ☐ Undefined Availability: ☒ Low ☐ Moderate ☐ High ☐ Undefined

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[4] FIPS 199 is the Federal Information Processing Standard Publication 199, Standards for Security Categorization of Federal Information and Information Systems and is used to establish security categories of information systems.

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PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

Component Privacy Office Reviewer:	Christopher S. Lee
Date submitted to Component Privacy Office:	**February 9, 2018**
Date submitted to DHS Privacy Office:	February 23, 2018
Component Privacy Office Recommendation: *Please include recommendation below, including what new privacy compliance documentation is needed.*	
This PTA is being submitted for Paperwork Reduction Act compliance requirements. This S&T effort has been restructured such that no PII is being collected, used, or shared. Only general information from the company is being used. Because no PII is being collected, used, or shared, S&T Privacy recommends no further compliance requirements be taken.	

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

DHS Privacy Office Reviewer:	**Riley Dean**
PCTS Workflow Number:	**1158544**
Date approved by DHS Privacy Office:	February 26, 2018
PTA Expiration Date	February 26, 2021

DESIGNATION

Privacy Sensitive System:	Yes If "no" PTA adjudication is complete.
Category of System:	Form/Information Collection If "other" is selected, please describe: Click here to enter text.
Determination:	☒ PTA sufficient at this time. ☐ Privacy compliance documentation determination in progress. ☐ New information sharing arrangement is required. ☐ DHS Policy for Computer-Readable Extracts Containing Sensitive PII applies. ☐ Privacy Act Statement required. ☐ Privacy Impact Assessment (PIA) required.

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☐ System of Records Notice (SORN) required. ☐ Paperwork Reduction Act (PRA) Clearance may be required. Contact your component PRA Officer. ☐ A Records Schedule may be required. Contact your component Records Officer.	
PIA:	Choose an item. If covered by existing PIA, please list: Click here to enter text.
SORN:	Choose an item. If covered by existing SORN, please list: Click here to enter text.

DHS Privacy Office Comments:
Please describe rationale for privacy compliance determination above.

S&T is submitting this PTA to discuss an Industry Outreach form. It will collect private sector company information to include: company name and address; company classification (size and type); and description of the company's technology or technical capability, including the current state of the technology, its technology readiness level, and its manufacturing readiness level. This information collection allows S&T to maintain awareness and knowledge of private sector companies and their technology products that may be of interest to S&T's R&D programs. S&T will use this information collection to inform its technology scouting function to discover technologies and capabilities of vendors/companies that are interested in working with S&T on current or future projects.

S&T has restructured this form to no longer solicit PII from private sector individuals by requesting general company information instead of individual POC contact information.

However, the form still does solicit information about individual POCs at DHS with whom the company may have worked with in the past. Because of this, the form may still contain PII when it is submitted. That being said, the form does not require PIA or SORN coverage (as the PII of the DHS personnel would not be retrieved by personal identifier), and thus no Privacy Act Statement.

No further privacy compliance documentation is required.