

**U.S. DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT**

INITIAL PRIVACY ASSESSMENT (IPA)

Understanding Rapid Re-housing Study

Office of Policy Development and Research

Instruction & Template

3/29/2017

INITIAL PRIVACY ASSESSMENT (IPA)

The IPA is a compliance form developed by the Privacy Branch to identify the use of Personally Identifiable Information (PII) across the Department. The IPA is the first step in the PII verification process, which focuses on the following areas of inquiry:

- Purpose for the information,
- Type of information,
- Sensitivity of the information,
- Use of the information,
- And the risk to the information.

Please use the attached form to determine whether a Privacy Impact Assessment (PIA) is required under the E-Government Act of 2002 or a System of Record Notice (SORN) is required under the Privacy Act of 1974, as amended.

Please complete this form and send it to your program Privacy Liaison Officer (PLO). If you do not have a program Privacy Liaison Officer, please send the IPA to the HUD Privacy Branch:

Marcus Smallwood, Branch Chief
Privacy Branch
U.S. Department of Housing and Urban Development

privacy@hud.gov

Upon receipt from your program PLO, the HUD Privacy Branch will review this form. If a PIA or SORN is required, the HUD Privacy Branch will send you a copy of the PIA and SORN templates to complete and return.

INITIAL PRIVACY ASSESSMENT (IPA)

SUMMARY INFORMATION

Project or Program Name:	Understanding Rapid Re-housing Study		
Program:	Policy Development and Research (PD&R)		
CSAM Name (if applicable):	Click here to enter text.	CSAM Number (if applicable):	Click here to enter text.
Type of Project or Program:	Form or other Information Collection	Project or program status:	Development
Date first developed:	Click here to enter a date.	Pilot launch date:	Click here to enter a date.
Date of last IPA 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:	Mindy Ault		
Office:	PED / PD&R	Title:	Social Science Analyst
Phone:	202-402-3116	Email:	<u>Mindy.Ault@hud.gov</u>

INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)

Name:	Click here to enter text.		
Phone:	Click here to enter text.	Email:	Click here to enter text.

SPECIFIC IPA QUESTIONS

<p>1. Reason for submitting the IPA: Choose an item.</p> <p><i>Please provide a general description of the project and its purpose in a way a non-technical person could understand. If this is an updated IPA, please describe what changes and/or upgrades that are triggering the update to this IPA. If this is a renewal please state whether or not there were any changes to the project, program, or system since the last version.</i></p> <p>The <i>Understanding Rapid Re-Housing Study</i> provides an opportunity to (1) synthesize existing research on RRH programs, (2) extend the analysis of data from the Family Options Study (2016), (3) provide a detailed examination of all rapid re-housing programs nationwide, and (4) conduct qualitative research with a small sample of families and individuals who receive RRH. The first two objectives will utilize existing literature and data that have already been collected. To examine the nation’s RRH programs, we will rely on currently existing Annual Program Reports (APRs) from local Continuums of Care (CoCs) and administer a web-based survey to RRH programs. To accomplish the fourth objective, we will conduct in-depth interviews and ethnographic research with households.</p> <p>All PII will be redacted from the final report so that the responses are non-specific to any identifiable individuals.</p>
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<p>2. Does this system employ any of the following technologies?</p> <p><i>If you are using any of these technologies and want coverage under the respective PIA for that technology, please stop here and contact the HUD Privacy Branch for further guidance.</i></p>	<p><input type="checkbox"/> Social Media</p> <p><input type="checkbox"/> Web portal¹ (e.g., SharePoint)</p> <p><input checked="" type="checkbox"/> Contact Lists</p> <p><input type="checkbox"/> Public website (e.g. A website operated by HUD, contractor, or other organization on behalf of the HUD)</p> <p><input type="checkbox"/> None of these</p>
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<p>3. From whom does the Project or Program collect, maintain, use, or disseminate information?</p> <p><i>Please check all that apply.</i></p>	<p><input type="checkbox"/> This program does not collect any personally identifiable information²</p> <p><input checked="" type="checkbox"/> Members of the public</p> <p><input type="checkbox"/> HUD employees/contractors (list programs):</p>
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¹ Informational and collaboration-based portals in operation at HUD and its programs 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 HUD 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 IPA, SPII and PII are treated the same.

	<input type="checkbox"/> Contractors working on behalf of HUD <input type="checkbox"/> Employees of other federal agencies <input checked="" type="checkbox"/> Other (e.g. business entity) Staff of CoCs and RRH programs nationwide
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4. What specific information about individuals is collected, generated or retained?

Please provide a specific description of information that is collected, generated, or retained (such as names, addresses, emails, etc.) for each category of individuals.

The contractor, Abt Associates, will collect names, addresses, phone numbers, and e-mail addresses for staff of all Continuums of Care and Rapid Re-housing Programs nationwide, as well as for RRH program participants who elect to participate in the study.

4(a) Does the project, program, or system retrieve information from the system about a U.S. Citizen or lawfully admitted permanent resident aliens by a personal identifier?	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If yes, please list all personal identifiers used:
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4(b) Does the project, program, or system have an existing System of Records Notice (SORN) that has already been published in the Federal Register that covers the information collected?	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If yes, provide the system name and number, as well as the Federal Register citation(s) for the most recent complete notice and any subsequent notices reflecting amendment to the system
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4(c) Has the project, program, or system undergone any significant changes since the SORN?	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If yes, please describe.
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4(d) Does the project, program, or system use Social Security Numbers (SSN)?	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes.
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4(e) If yes, please provide the specific legal authority and purpose for the collection of SSNs:	Click here to enter text.
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4(f) If yes, please describe the uses of the SSNs within the project, program, or system:	Click here to enter text.
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4(g) If this project, program, or system is an information technology/system, does it relate solely to infrastructure?	<input type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If a log kept of communication traffic, please answer the following question.
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For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)?

4(h) If header or payload data³ 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 HUD programs or systems?	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list: Click here to enter text.
6. Does this project, program, or system connect, receive, or share PII with any external (non-HUD) partners or systems?	<input checked="" type="checkbox"/> No. <input type="checkbox"/> 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, 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 HUD personnel?	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list:
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/agencies who have requested access to their PII?	<input type="checkbox"/> No. What steps will be taken to develop and maintain the accounting: <input type="checkbox"/> Yes. In what format is the accounting maintained:
9. Is there a FIPS 199 determination?⁴	<input type="checkbox"/> Unknown. <input checked="" type="checkbox"/> No.

³ Header: Information that is placed before the actual data. The header normally contains a small number of bytes of control information, which is used to communicate important facts about the data that the message contains and how it is to be interpreted and used. It serves as the communication and control link between protocol elements on different devices.

Payload data: The actual data to be transmitted, often called the payload of the message (metaphorically borrowing a term from the space industry!) Most messages contain some data of one form or another, but some actually contain none: they are used only for control and communication purposes. For example, these may be used to set up or terminate a logical connection before data is sent.

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.

	<input type="checkbox"/> Yes. Please indicate the determinations for each of the following: Confidentiality: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High Integrity: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High Availability: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High
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**INITIAL PRIVACY ASSESSMENT REVIEW
(TO BE COMPLETED BY PROGRAM PLO)**

Program Privacy Liaison Reviewer:	Click here to enter text.
Date submitted to Program Privacy Office:	Click here to enter a date.
Date submitted to HUD Privacy Branch:	Click here to enter a date.
Program Privacy Liaison Officer Recommendation: <i>Please include recommendation below, including what new privacy compliance documentation is needed.</i>	
Click here to enter text.	

(TO BE COMPLETED BY THE HUD PRIVACY BRANCH)

HUD Privacy Branch Reviewer:	Conique Key
Date approved by HUD Privacy Branch:	April 11, 2017
IPA Expiration Date:	N/A

DESIGNATION

Privacy Sensitive System:	Choose an item. If "no" IPA adjudication is complete.
Category of System:	Choose an item. If "other" is selected, please describe: Click here to enter text.
Determination:	<input type="checkbox"/> IPA sufficient at this time. <input type="checkbox"/> Privacy compliance documentation determination in progress.

- New information sharing arrangement is required.
- HUD Policy for Computer-Readable Extracts Containing Sensitive PII applies.
- Privacy Act Statement required.
- Privacy Impact Assessment (PIA) required.
- System of Records Notice (SORN) required.
- Paperwork Reduction Act (PRA) Clearance may be required. Contact your program PRA Officer.
- A Records Schedule may be required. Contact your program Records Officer.

PIA: N/A

SORN: N/A.

HUD Privacy Branch Comments:

Please describe rationale for privacy compliance determination above.


Click here to enter text.

DOCUMENT ENDORSMENT

DATE REVIEWED: 4/11/2017

PRIVACY REVIEWING OFFICIALS NAME: Conique Key

By signing below, you attest that the content captured in this document is accurate and complete and meet the requirements of applicable federal regulations and HUD internal policies.



SYSTEM OWNER

Mindy Ault, Social Science Analyst-COTR
PROGRAM EVALUATION DIVISION

4/13/17
Date



CHIEF PRIVACY OFFICER

Marcus Smallwood, Privacy Officer
OFFICE OF ADMINISTRATION

4/13/17
Date

