



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

Initial Privacy Assessment

Appalachia Economic Development Initiative (AEDI)

Office of Rural Housing and Economic Development

June 6, 2017

INITIAL PRIVACY ASSESSMENT (IPA)

The Initial Privacy Assessment (IPA) is use to determine whether a Privacy Impact Assessment (PIA) is required under the E-Government Act of 2002. The IPA is also used to determine if a System of Records Notice (SORN) is required under the Privacy Act of 1974.

The IPA is an administrative form created by the Privacy Branch to efficiently and effectively identify the use of Personally Identifiable Information (PII) across the Department. The IPA focuses on three areas of inquiry:

- Business data and business processes within each HUD program.
- Potential connections with individuals including the use of PII – any use of social security numbers must be specifically identified.

HUD's program and support offices should ensure that its respective IPA is completed and sent to the Privacy Branch for approval. If SSNs are to be used, the IPA specifically identifies the justification and authority for using SSNs. Upon receipt of the IPA, the Privacy Branch determines the applicability of other privacy compliance requirements including the PIA and SORN. The IPA is complete when the Privacy Branch signs it and sends the final copy back to the identified point of contact.

Please complete this form and send it to the HUD Privacy Branch staff.

Janice Noble
Acting, Branch Chief
Privacy Branch
U.S. Department of Housing and Urban Development

Privacy@hud.gov

If a PIA or SORN is required, a copy of the Privacy Impact Assessment and System of Records Notice form is available on the HUD Privacy Branch website, <http://hudatwork.hud.gov/HUD/cio/po/i/privacy>, on HUD@Work or directly from the HUD Privacy Branch via email: privacy@hud.gov to complete and return.

INITIAL PRIVACY ASSESSMENT (IPA) SUMMARY INFORMATION

Date Submitted for Review: June 6, 2017

Name of System or Project: Appalachia Economic Development Initiative (AEDI)

System Name in CSAM: <Please enter the name.>

Name of Program Office: Office of Rural Housing and Economic Development

Name of Project Manager or System Owner Thann Young

Email for Project Manager or System Owner: Thann.Young@hud.gov

Phone Number for Project Manager or System Owner: (202) 402-4464

Type of Project:

- Information Technology and/or System
- A Notice of Proposed Rule Making or a Final Rule:
- Form or other Information Collection:
- Other: <Please describe the type of project including paper based Privacy Act system of records.>

SPECIFIC QUESTIONS

- 1. Describe the project and its purpose:** The Appalachia Economic Development Initiative is a collaborative effort among three federal agencies - the Department of Housing and Urban Development (HUD), the Department of the Treasury - Community Development Financial Institutions Fund (CDFI Fund) and the Department of Agriculture - Rural Development (USDA-RD). The purpose of the Appalachia Economic Development Initiative (AEDI) is to support local rural nonprofits and Federally Recognized Indian tribes serving the Lower Mississippi Delta for lending and investing activities in businesses lending and economic development, and for securing additional sources of public and private capital for these activities. Funding for the AEDI is provided by recaptured funds from the Rural Housing and Economic Development grant, which was authorized by The Department of Veterans Affairs and the Department of Housing and Urban Development and Independent Agencies Appropriations Act, 1999 (Public Law 105-276, October 21, 1998).

<Please provide a general description of the project and its purpose in a way a non-technical person could understand.>

2. Status of Project:

- This is a new development effort.
 This is an existing project.

Date first updated: This project was created by the publication of the AEDI NOFA September 2, 2014. The AEDI awards were announced October 7, 2015.

Date last updated: There has been no previous updates to the project since its creation. No additional funds have been appropriated for this project.

<Please provide a general description of the update.>

3. From whom do you collect, process, or retain information on: (Please check all that apply)

- HUD Employees
 Contractors working on behalf of HUD
 The Public
 The System does not contain any such information.

4. Do you use or collect Social Security Numbers (SSNs)? (This includes truncated SSNs)

- No.
 Yes.

The HUD-2880 form will not be included in the updated information collection. The collection of Social Security Numbers is not required

for this project and will not be collected.

5. What information about individuals could be collected, generated or retained?

<Please provide a specific description of information that might be collected, generated or retained such as names, addresses, emails, etc.>

No information will be generated, collected, or retained such as names, address, e-mails, etc.

6. If this project is a 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 the next question.

Yes. Is there a log kept of communication traffic?

No. Please continue to the next question.

Yes. What type of data is recorded in the log? (Please choose all that apply.)

Header

Payload Please describe the data that is logged.

[<Please list the data elements in the log.>](#)

7. Does the system connect, receive, or share Personally Identifiable Information with any other HUD systems?

No.

Yes. Please list the systems:

Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, LOI, etc.)?

8. Does the system meet all of the following requirements?

There will be a group of records under the control of an agency that contains a personal identifier (such as a name, date of birth, SSN, Employee Number, fingerprint, etc.) of U.S. citizens and lawful permanent residents;

Contains at least one other item of personal data (such as home address, performance rating, blood type, etc.); and

The data about the subject individual IS retrieved by the name or unique identifier assigned to the individual.

No.

Yes.

If yes is there an existing System of Record Notice?

No.

Yes.

9. Is there an Authorization to Operate record within OCIO's FISMA tracking system CSAM?

Unknown

No

Yes. Please indicate the determinations for each of the following:

Confidentiality: Low Moderate High

Integrity: Low Moderate High

Availability: Low Moderate High

**PRIVACY DETERMINATION
(TO BE COMPLETED BY THE HUD PRIVACY BRANCH)**

Date reviewed by the HUD Privacy Branch: <Insert Date.>

Name of the HUD Privacy Branch Reviewer: <Please enter name of reviewer.>

DESIGNATION

This is NOT a Privacy Sensitive System – the system contains no Personally Identifiable Information.

This IS a Privacy Sensitive System
Category of System

- IT System
- Legacy System
- HR System
- Rule
- Other: _____

Determination

- IPA sufficient at this time
- Privacy compliance documentation determination in progress
- PIA is not required at this time
- PIA is required
 - System covered by existing PIA:
 - New PIA is required
 - PIA update is required
- SORN not required at this time
- SORN is required
 - System covered by existing SORN:
 - New SORN is required

HUD PRIVACY BRANCH COMMENTS:

DOCUMENT ENDORSMENT

DATE REVIEWED:
PRIVACY REVIEWING OFFICIALS NAME:

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

Date

<< INSERT NAME/TITLE >>
<< INSERT PROGRAM OFFICE >>

CHIEF PRIVACY OFFICER

Date

<< INSERT NAME/TITLE >>
OFFICE OF ADMINISTRATION