

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

- Accept
- Reject

5 Identify the operator.

- Agency
- Contractor

6 Point of Contact (POC):

POC Title POC Name POC Organization POC Email POC Phone

- Accept
- Reject

7 Is this a new or existing system?

- New
- Existing

8 Does the system have Security Authorization (SA)?

- Yes
- No

- Accept
- Reject

8b Planned Date of Security Authorization

 Not Applicable

9	Indicate the following reason(s) for updating this PIA. Choose from the following options.	<input type="checkbox"/> PIA Validation (PIA Refresh/Annual Review) <input type="checkbox"/> Anonymous to Non-Anonymous <input type="checkbox"/> New Public Access <input type="checkbox"/> Internal Flow or Collection <input type="checkbox"/> Commercial Sources <input type="checkbox"/> Significant System Management Change <input type="checkbox"/> Alteration in Character of Data <input type="checkbox"/> New Interagency Uses <input type="checkbox"/> Conversion	<input type="radio"/> Accept <input type="radio"/> Reject
<input type="text" value="PIA Officer Request"/>			
10	Describe in further detail any changes to the system that have occurred since the last PIA.	<input type="text"/>	<input type="radio"/> Accept <input type="radio"/> Reject
11	Describe the purpose of the system.	Assists SBIR program office to track/communicate with applicants in the NIH Commercialization Accelerator Program.	<input type="radio"/> Accept <input type="radio"/> Reject
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.)	1) the system collects standard applicant information including name and the web url so that we know which SBIR technology is receiving the assistance in the CAP program, meaning all this PII can be located in the NIH QVR system. Nothing in this management system is disseminated to anyone; 2) The PMS is strictly used as a tool to help keep track of and have effective communication with selected companies and oversee their progress and deliverables.; 3) I believe by definition this is PII.; 4) The information is not mandatory but encouraged as it is generally needed to identify the applicant small business. Information about the technology details are voluntary and we discourage disclosure of any business confidential and proprietary information.	<input type="radio"/> Accept <input type="radio"/> Reject
13	Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily.	<input type="text"/>	<input type="radio"/> Accept <input type="radio"/> Reject
14	Does the system collect, maintain, use or share PII ?	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject

<p>15 Indicate the type of PII that the system will collect or maintain.</p>	<input type="checkbox"/> Social Security Number <input checked="" type="checkbox"/> Name <input type="checkbox"/> Driver's License Number <input type="checkbox"/> Mother's Maiden Name <input checked="" type="checkbox"/> E-Mail Address <input checked="" type="checkbox"/> Phone Numbers <input type="checkbox"/> Medical Notes <input type="checkbox"/> Certificates <input type="checkbox"/> Education Records <input type="checkbox"/> Military Status <input type="checkbox"/> Foreign Activities <input type="checkbox"/> Taxpayer ID	<input type="checkbox"/> Date of Birth <input type="checkbox"/> Photographic Identifiers <input type="checkbox"/> Biometric Identifiers <input type="checkbox"/> Vehicle Identifiers <input checked="" type="checkbox"/> Mailing Address <input type="checkbox"/> Medical Records Number <input type="checkbox"/> Financial Account Info <input type="checkbox"/> Legal Documents <input type="checkbox"/> Device Identifiers <input type="checkbox"/> Employment Status <input type="checkbox"/> Passport Number	<input type="radio"/> Accept <input type="radio"/> Reject
<p>16 Indicate the categories of individuals about whom PII is collected, maintained or shared.</p>	<input type="checkbox"/> Employees <input type="checkbox"/> Public Citizens <input checked="" type="checkbox"/> Business Partners/Contacts (Federal, state, local agencies) <input type="checkbox"/> Vendors/Suppliers/Contractors <input type="checkbox"/> Patients Other <input type="text"/>	<input type="radio"/> Accept <input type="radio"/> Reject	
<p>17 How many individuals' PII is in the system?</p>	<input type="text" value="<100"/>	<input type="radio"/> Accept <input type="radio"/> Reject	
<p>18 For what primary purpose is the PII used?</p>	<input type="text" value="This information used to enable communication with small business applicants by NIH CAP-these are business contacts."/>	<input type="radio"/> Accept <input type="radio"/> Reject	
<p>19 Describe the secondary uses for which the PII will be used (e.g. testing, training or research)</p>	<input type="text"/>	<input type="radio"/> Accept <input type="radio"/> Reject	
<p>20 Describe the function of the SSN.</p>	<input type="text" value="Not applicable"/>	<input type="radio"/> Accept <input type="radio"/> Reject	
<p>20a Cite the legal authority to use the SSN.</p>	<input type="text" value="Not applicable"/>		
<p>21 Identify legal authorities governing information use and disclosure specific to the system and program.</p>	<input type="text" value="Not applicable"/>	<input type="radio"/> Accept <input type="radio"/> Reject	
<p>22 Are records on the system retrieved by one or more PII data elements?</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject	

<p>23 Identify the sources of PII in the system.</p>	<p>Directly from an individual about whom the information pertains</p> <p><input type="checkbox"/> In-Person</p> <p><input checked="" type="checkbox"/> Hard Copy: Mail/Fax</p> <p><input type="checkbox"/> Email</p> <p><input checked="" type="checkbox"/> Online</p> <p><input checked="" type="checkbox"/> Other</p> <p>Government Sources</p> <p><input type="checkbox"/> Within the OPDIV</p> <p><input type="checkbox"/> Other HHS OPDIV</p> <p><input type="checkbox"/> State/Local/Tribal</p> <p><input type="checkbox"/> Foreign</p> <p><input type="checkbox"/> Other Federal Entities</p> <p><input type="checkbox"/> Other</p> <p>Non-Government Sources</p> <p><input type="checkbox"/> Members of the Public</p> <p><input type="checkbox"/> Commercial Data Broker</p> <p><input type="checkbox"/> Public Media/Internet</p> <p><input type="checkbox"/> Private Sector</p> <p><input type="checkbox"/> Other</p>	<p><input type="radio"/> Accept</p> <p><input type="radio"/> Reject</p>
<p>23a Identify the OMB information collection approval number and expiration date.</p>	<input type="text"/>	
<p>24 Is the PII shared with other organizations?</p>	<p><input type="radio"/> Yes</p> <p><input checked="" type="radio"/> No</p>	<p><input type="radio"/> Accept</p> <p><input type="radio"/> Reject</p>
<p>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.</p>	<input type="text"/>	<p><input type="radio"/> Accept</p> <p><input type="radio"/> Reject</p>
<p>26 Is the submission of PII by individuals voluntary or mandatory?</p>	<p><input checked="" type="radio"/> Voluntary</p> <p><input type="radio"/> Mandatory</p>	<p><input type="radio"/> Accept</p> <p><input type="radio"/> Reject</p>
<p>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.</p>	<p>1) & 2) The contractor and administrator notify participants of any system changes that would affect safety of the PII collected about them. We explain to participants how the system works, create log-in credentials for them and disclose who has access to the portal. We advise all companies to sign confidentiality non-disclosure agreements (CDAs) and also tell them that all contractors and special advisors also have to sign CDAs. 3) no information collected within the portal is shared or disseminated to outside parties. That information is strictly for NIH SBIR program use.</p>	<p><input type="radio"/> Accept</p> <p><input type="radio"/> Reject</p>
<p>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.</p>	<p>Individuals are aware of how their PII is going to be used at the time they provide the information as notification language is provided at the time of submission.</p>	<p><input type="radio"/> Accept</p> <p><input type="radio"/> Reject</p>

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.	Any complaints regarding the potential misuse of PII is emailed to the system manager who directs the response to the appropriate personnel (i.e. NIH security administrators).	<input type="radio"/> Accept <input type="radio"/> Reject										
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.		<input type="radio"/> Accept <input type="radio"/> Reject										
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="717 386 951 478"><input checked="" type="checkbox"/> Users</td> <td data-bbox="951 386 1422 478">access information only about their company</td> </tr> <tr> <td data-bbox="717 478 951 550"><input checked="" type="checkbox"/> Administrators</td> <td data-bbox="951 478 1422 550">i have access to all the information</td> </tr> <tr> <td data-bbox="717 550 951 642"><input checked="" type="checkbox"/> Developers</td> <td data-bbox="951 550 1422 642">have access in order to update and provide suport</td> </tr> <tr> <td data-bbox="717 642 951 735"><input checked="" type="checkbox"/> Contractors</td> <td data-bbox="951 642 1422 735">have access in order to update and provide support</td> </tr> <tr> <td data-bbox="717 735 951 800"><input type="checkbox"/> Others</td> <td data-bbox="951 735 1422 800"></td> </tr> </table>	<input checked="" type="checkbox"/> Users	access information only about their company	<input checked="" type="checkbox"/> Administrators	i have access to all the information	<input checked="" type="checkbox"/> Developers	have access in order to update and provide suport	<input checked="" type="checkbox"/> Contractors	have access in order to update and provide support	<input type="checkbox"/> Others		<input type="radio"/> Accept <input type="radio"/> Reject
<input checked="" type="checkbox"/> Users	access information only about their company												
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<input checked="" type="checkbox"/> Developers	have access in order to update and provide suport												
<input checked="" type="checkbox"/> Contractors	have access in order to update and provide support												
<input type="checkbox"/> Others													
32	Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.		<input type="radio"/> Accept <input type="radio"/> Reject										
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.		<input type="radio"/> Accept <input type="radio"/> Reject										
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.		<input type="radio"/> Accept <input type="radio"/> Reject										
35	Describe training system users receive (above and beyond general security and privacy awareness training).		<input type="radio"/> Accept <input type="radio"/> Reject										
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	<input type="radio"/> Accept <input type="radio"/> Reject										
37	Describe the process and guidelines in place with regard to the retention and destruction of PII. Cite specific records retention schedules.	Records are retained and disposed of under the authority of the NIH Records Control Schedule contained in NIH Manual Chapter 1743, Appendix 1 - "Keeping and Destroying Records" (HHS Records Management Manual, Appendix B-361), item 4000-A-2, which allows records to be destroyed when no longer needed for administrative purposes. Refer to the NIH Manual Chapter for specific disposition instructions	<input type="radio"/> Accept <input type="radio"/> Reject										
38	Describe, briefly but with specificity, how the PII will be secured in the system using administrative, technical, and physical controls.	We have password protected access in place that is set up for the administrator, the contracted staff that run the database (Larta Institute of 606 Olive Street, Suite 650, Los Angeles, CA), the selected companies which can only access their own files, and special advisors that mentor the company who also can access technology related information about the company they were assigned to.	<input type="radio"/> Accept <input type="radio"/> Reject										

Reviewer Questions		Answer	
<p>REVIEWER QUESTIONS: The following section contains Reviewer Questions which are not to be filled out unless the user is an OPDIV Senior Officer for Privacy.</p>			
Reviewer Questions		Answer	
1	Are the questions on the PIA answered correctly, accurately, and completely?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		
2	Does the PIA appropriately communicate the purpose of PII in the system and is the purpose justified by appropriate legal authorities?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		
3	Do system owners demonstrate appropriate understanding of the impact of the PII in the system and provide sufficient oversight to employees and contractors?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		
4	Does the PIA appropriately describe the PII quality and integrity of the data?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		
5	Is this a candidate for PII minimization?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		
6	Does the PIA accurately identify data retention procedures and records retention schedules?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		
7	Are the individuals whose PII is in the system provided appropriate participation?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		
8	Does the PIA raise any concerns about the security of the PII?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		
9	Is applicability of the Privacy Act captured correctly and is a SORN published or does it need to be?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		
10	Is the PII appropriately limited for use internally and with third parties?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject

Reviewer Questions		Answer	
Reviewer Notes	<input type="text"/>		
11	Does the PIA demonstrate compliance with all Web privacy requirements?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		
12	Were any changes made to the system because of the completion of this PIA?	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Accept <input type="radio"/> Reject
Reviewer Notes	<input type="text"/>		

General Comments

OPDIV Senior Official for Privacy Signature HHS Senior Agency Official for Privacy

Third-Party Website Assessment PIA Form

v 1.47.4

Status Form Number Read Only Form Date Read Only

Question	Answer
1 OPDIV:	<input type="text" value="Read Only - OPDIV"/>
2 TPWA Unique Identifier (UID):	<input type="text" value="Read Only - TPWA UID"/>
3 TPWA Name:	<input type="text" value="Read Only - TPWA Name"/>
4 Is this a new TPWA?	<input type="radio"/> Yes <input type="radio"/> No
4a Please provide the reason for revision	<input type="text"/>
5 Will the use of a third-party Website or application create a new or modify an existing HHS/OPDIV System of Records Notice (SORN) under the Privacy Act?	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Accept <input type="radio"/> Reject
5a Indicate the SORN number (or identify plans to put one in place.)	SORN Number: <input type="text"/> If not published: <input type="text"/>

6	Will the use of a third-party Website or application create an information collection subject to OMB clearance under the Paperwork Reduction Act (PRA)?	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
6a	Indicate the OMB approval number and approval number expiration date (or describe the plans to obtain OMB clearance.)	OMB Approval Number <input type="text"/> Expiration Date <input type="text"/> Explanation <input type="text"/>	
7	Does the third-party Website or application contain Federal Records?	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
8	Point of Contact (POC):	POC Title <input type="text"/> POC Name <input type="text"/> POC Organization <input type="text"/> POC Email <input type="text"/> POC Phone <input type="text"/>	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
9	Describe the specific purpose for the OPDIV use of the third-party Website or application:	<input type="text"/>	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
10	Have the third-party privacy policies been reviewed to evaluate any risks and to determine whether the Website or application is appropriate for OPDIV use?	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
11	Describe alternative means by which the public can obtain comparable information or services if they choose not to use the third-party Website or application:	<input type="text"/>	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
12	Does the third-party Website or application have appropriate branding to distinguish the OPDIV activities from those of nongovernmental actors?	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
13	How does the public navigate to the third party Website or application from the OPIDIV?	<input type="text"/>	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
13a	Please describe how the public navigate to the third-party website or application:	<input type="text"/>	
13b	If the public navigate to the third-party website or application via an external hyperlink, is there an alert to notify the public that they are being directed to a nongovernmental Website?	<input type="radio"/> Yes <input type="radio"/> No	
14	Has the OPDIV Privacy Policy been updated to describe the use of a third-party Website or application?	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
14a	Provide a hyperlink to the OPDIV Privacy Policy:	<input type="text"/>	
15	Is an OPDIV Privacy Notice posted on the third-party Website or application?	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject

15a	<p>Confirm that the Privacy Notice contains all of the following elements: (i) An explanation that the Website or application is not government-owned or government-operated; (ii) An indication of whether and how the OPDIV will maintain, use, or share PII that becomes available; (iii) An explanation that by using the third-party Website or application to communicate with the OPDIV, individuals may be providing nongovernmental third-parties with access to PII; (iv) A link to the official OPDIV Website; and (v) A link to the OPDIV Privacy Policy</p>	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
15b	<p>Is the OPDIV's Privacy Notice prominently displayed at all locations on the third-party Website or application where the public might make PII available?</p>	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
16	<p>Is PII collected by the OPDIV from the third-party Website or application?</p>	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
17	<p>Will the third-party Website or application make PII available to the OPDIV?</p>	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
18	<p>Describe the PII that will be collected by the OPDIV from the third-party Website or application and/or the PII which the public could make available to the OPDIV through the use of the third-party Website or application and the intended or expected use of the PII:</p>	<input type="text"/>	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
19	<p>Describe the type of PII from the third-party Website or application that will be shared, with whom the PII will be shared, and the purpose of the information sharing:</p>	<input type="text"/>	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
19a	<p>If PII is shared, how are the risks of sharing PII mitigated?</p>	<input type="text"/>	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
20	<p>Will the PII from the third-party Website or application be maintained by the OPDIV?</p>	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
20a	<p>If PII will be maintained, indicate how long the PII will be maintained:</p>	<input type="text"/>	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
21	<p>Describe how PII that is used or maintained will be secured:</p>	<input type="text"/>	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
22	<p>What other privacy risks exist and how will they be mitigated?</p>	<input type="text"/>	<input checked="" type="radio"/> Accept <input type="radio"/> Reject
<p align="center">REVIEWER QUESTIONS: The following section contains Reviewer Questions which are not to be filled out unless the user is an OPDIV Senior Officer for Privacy.</p>			
Reviewer Questions		Answer	
1	Are the responses accurate and complete?	<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Accept <input type="radio"/> Reject

REVIEWER QUESTIONS: The following section contains Reviewer Questions which are not to be filled out unless the user is an OPDIV Senior Officer for Privacy.

Reviewer Notes

2 Is the TPWA compliant with all M-10-23 requirements, including appropriate branding and alerts? Yes Accept No Reject

Reviewer Notes

3 Has the OPDIV posted an updated privacy notice on the TPWA and does it contain the five required elements? Yes Accept No Reject

Reviewer Notes

4 Does the PIA clearly identify PII made available and/or collected by the TPWA? Yes Accept No Reject

Reviewer Notes

5 Is the handling of PII appropriate? Yes Accept No Reject

Reviewer Notes

General Comments

OPDIV Senior Official for Privacy Signature

HHS Senior Agency Official for Privacy