U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Initial Privacy Assessment

Public Housing Consolidated Annual Contributions Contract and Inventory Removal Application Paperwork Reduction Act (PRA) Submission

PIH Office of Policy, Programs and Legislative Initiatives (OPPLI)

December 8, 2016

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: February 18, 2016

Name of System or Project: Public Housing Annual Contributions Contract (ACC) and Inventory Removal Application in the Inventory Management System (IMS/PIC) System

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

Name of Program Office: PIH Office of Policy, Programs and Legislative Initiatives (OPPLI)

Name of Project Manager or System Owner: Major Galloway, Senior Policy Advisor

Email for Project Manager or System Owner: Major.S.Galloway@hud.gov

Phone Number for Project Manager or System Owner: (202) 402-4182

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 purpose of the Annual Contributions Contract (ACC) information collection is to establish the grant agreement between each Public Housing Agency (PHA) and HUD. The ACC establishes the basic terms and conditions for the PHA's public housing program and requires the PHA to manage and operate all of its public housing properties in accordance with the U.S. Housing Act of 1937 and all applicable HUD Requirements. This collection amends this ACC document by merging the current HUD-53012-A and HUD-53012-B forms into one document and adding requirements applicable to mixed-finance public housing development and making minor clarifications and updates, based on applicable statutes and regulations, on the contractual agreement.

The purpose of the Declaration of Trust (DOT) is to require the PHA to remain seized of the title to said property and to refrain from transferring, conveying, assigning, leasing, mortgaging, pledging, or otherwise encumbering or permitting or suffering any transfer, conveyance, assignment, lease, mortgage, pledge or other encumbrance of said property or any part thereof, appurtenances thereto, or any rent, revenues, income, or receipts therefrom or in connection therewith, or any of the benefits or contributions granted to it by or pursuant to the ACC. This collection amends this ACC document by merging the current HUD-51290-A (development) and HUD-51290-B (modernization) forms, into one document, as well as adding the Declaration of Restrictive Covenants (DORC) document for mixed-finance public housing developments into one form.

The purpose of the General Depository Agreement (GDA) is to ensure PHAs use all Program Receipts received from HUD or otherwise associated with public housing funds for purposes of public housing, by requiring such financial assistance to be deposited into interest-bearing accounts at financial institutions whose deposits or accounts are insured by the Federal Deposit Insurance Corporation (FDIC) or the National Credit Union Share Insurance Fund (NCUSIF). The GDA is an agreement between the PHA and the Depository and establishes the terms and conditions dictating the investment policies for the PHAs deposits.

The purpose of the Inventory Removal Application information collection (HUD-52860 and related addendums) is to ensure PHAs comply with the statutory and regulatory requirements when removing public housing property subsidized by HUD from their inventory. This application and approval process also ensures an accurate and up-to-date building and unit count for the PHA. HUD uses the PHA's inventory of buildings and units for various purposes, such as funding and property inspections. This PRA package adds two new forms to this collection: (1) a HUD-52860-A (demolition/disposition addendum) (this is a new form to address this program specifically—this information was previously required as part of the HUD-52860 global form); and (2) a HUD-52860-G (retention addendum to allow PHAs to submit retention applications in accordance with 2 CFR 200.311(c) and PIH Notice 2016-20.

This PRA submission also amends the current PRA to include an additional form for PHAs who are intending to remove all dwelling units in their portfolio from their inventory. This is notification to HUD of a PHA's intention to either closeout from the public housing program or develop new ACC units.

2. Status of Project:

☐ This is a new development effort.

☒ This is an existing project.

Date first developed: The information collection for the ACC was first approved by OMB in September 2010. IMS/PIC was developed in the late 1990s. The Inventory Removal Application sub-module in IMS/PIC was released in January 2003.

Date last updated: August 2014

The PRA was amended in 2014 to consolidate the information collection for the ACC and for the inventory removal application.

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. Why does the program collect SSNs? Provide the function of the

SSN and the legal authority to do so:

<Please explain the purpose of the collection, the function and the legal authority to collect, maintain or transmit the SSN.>

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

No information is collected about individuals.

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.

_____   _____
                                                          Date
SYSTEM OWNER

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

_____   _____
                                                          Date
PROGRAM AREA MANAGER

<<INSERT NAME/TITLE>>

<<INSERT PROGRAM OFFICE>>

_____   _____
                                                          Date
CHIEF PRIVACY OFFICER

<<INSERT NAME/TITLE>>
OFFICE OF THE EXECUTIVE SECRETARIAT