

Privacy Impact Assessment Form

v 1.21

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

5 Identify the operator.

- Agency
 Contractor

6 Point of Contact (POC):

POC Title
 POC Name
 POC Organization
 POC Email
 POC Phone

7 Is this a new or existing system?

- New
 Existing

8 Does the system have Security Authorization (SA)?

- Yes
 No

8b Planned Date of Security Authorization

 Not Applicable

8c	Briefly explain why security authorization is not required	Not applicable
10	Describe in further detail any changes to the system that have occurred since the last PIA.	Not applicable
11	Describe the purpose of the system.	<p>The National Institute for Occupational Safety and Health (NIOSH) with the help of a contract agency is proposing to evaluate progress toward translational research funded through the World Trade Center Health Program (WTCHP). As part of a mixed-methods assessment of the program's research investments, we plan to hold a series of focus groups with different stakeholder groups to explore their perspectives on translational research in the context of the WTCHP.</p> <p>The results of the focus groups will be used to: (1) gather data to help inform an evaluation of the WTCHP and development of strategic planning recommendations; (2) complement interviews to be conducted in another part of the qualitative WTCHP evaluation; and (3) potentially inform selection of interview participants based on an assessment of focus group participant feedback across demographic characteristics.</p>
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.)	<p>Qualitative data (namely, participant responses to a structured focus group discussion guide) will be audio-recorded, transcribed, and de-identified before analysis in standard qualitative analysis software. Questions will cover a series of topics: the role of research in the WTCHP; participants' interpretations of translational research; their views on the research priorities set out by the WTCHP; research gaps they recommend for future research; barriers to the use of scientific research in the WTCHP; and their views on the WTCHP research-to-care logic model.</p> <p>At the conclusion of the focus group, participants will complete an anonymous demographic paper-based survey that asks for truncated year of birth, sex, race, WTCHP Role, member type (if applicable), clinician specialty (if applicable) and number of years involved in the WTCHP Program.</p> <p>To recruit participants for the focus groups, NIOSH/WTCHP will provide the contractor with names and email addresses of potential participants to be contacted. These names and email addresses will not be linked in any way (and cannot be linked in any way) to participant responses in either the focus group or on the demographic survey.</p>

13 Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily.

This information collection request refers to the conduct of a series of focus groups involving different stakeholders within the WTCHP in order to perform an Impact Assessment and Strategic Planning for Translational Research. The focus groups will be conducted by telephone, or depending on scheduling availability, in person. The focus groups will follow a structured discussion guide and participants will respond to the questions contained in the discussion guide.

At the conclusion of the focus group, participants will fill out a brief paper-based survey for the researchers to report aggregated descriptive statistics of the characteristics of focus group participants (e.g., percent of male participants, average age, etc.). The results of the demographic survey will be stored in an Excel file that will be password protected and not linkable to individuals' responses in the focus groups.

To recruit participants for the focus groups, NIOSH/WTCHP will provide the contractor with names and email addresses of potential participants to be contacted from already existing rosters; these data will not be collected as part of the focus groups. Any names stated during the focus groups will be deleted from the transcripts before analysis. The list of names and emails will be stored temporarily and only as long as necessary to complete recruitment and post-focus group follow-up. All names/email addresses will be destroyed upon completion of the assessment.

The contractor will temporarily collect, maintain, and store gathered information. After collection and analysis of the data, a final report and a copy of the raw data is turned over to WTCHP. The contractor will permanently delete all gathered information.

Data given to NIOSH will be stored and analyzed in a secure, password-protected analysis software program, but it will not be shared with anyone outside of NIOSH. Only aggregate results will be reported.

14 Does the system collect, maintain, use or share PII? Yes No

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 Questions

Answer

1 Are the questions on the PIA answered correctly, accurately, and completely?

Yes
 No

Reviewer Notes

2 Does the PIA appropriately communicate the purpose of PII in the system and is the purpose justified by appropriate legal authorities?

Yes
 No

Reviewer Questions		Answer
Reviewer Notes		
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
Reviewer Notes		
4	Does the PIA appropriately describe the PII quality and integrity of the data?	<input type="radio"/> Yes <input type="radio"/> No
Reviewer Notes		
5	Is this a candidate for PII minimization?	<input type="radio"/> Yes <input type="radio"/> No
Reviewer Notes		
6	Does the PIA accurately identify data retention procedures and records retention schedules?	<input type="radio"/> Yes <input type="radio"/> No
Reviewer Notes		
7	Are the individuals whose PII is in the system provided appropriate participation?	<input type="radio"/> Yes <input type="radio"/> No
Reviewer Notes		
8	Does the PIA raise any concerns about the security of the PII?	<input type="radio"/> Yes <input type="radio"/> No
Reviewer Notes		
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
Reviewer Notes		
10	Is the PII appropriately limited for use internally and with third parties?	<input type="radio"/> Yes <input type="radio"/> No
Reviewer Notes		
11	Does the PIA demonstrate compliance with all Web privacy requirements?	<input type="radio"/> Yes <input type="radio"/> No
Reviewer Notes		
12	Were any changes made to the system because of the completion of this PIA?	<input type="radio"/> Yes <input type="radio"/> No
Reviewer Notes		

General Comments

OPDIV Senior Official
for Privacy Signature

HHS Senior
Agency Official
for Privacy