

# Privacy Impact Assessment Form

v 1.43

Status Draft

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Question

Answer

1 OPDIV:

TEST

2 PIA Unique

P-5860043-506903

Identifier: 2a Name:

Test 9-18-01

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.

Development

  

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

POC Title

Program Analyst

POC Name

Paris A Watson

6 Point of Contact (POC):

POC Organization

OD/DPCPSI/ODP

POC Email

watsonpa@od.nih.gov

POC Phone

301.496.6615

7 Is this a new or existing system?

- New
- Existing

8 Does the system have Security Authorization (SA)?

Yes

No

8a Date of Security Authorization

<p>11 Describe the purpose of the system.</p>	<p>One the Office of Disease Prevention's priorities is to promote the use of the best available methods in prevention research and support the development of better methods. One of our strategies is to help the Center for Scientific Review (CSR) identify experts in prevention science methods to include on their review panels. This will strengthen the panels and improve the quality of the prevention research supported by NIH. To identify experts in prevention science methods, we worked with our contractor, IQ Solutions, Inc., to develop online software which will allow us to collect scientists' names, contact information, and resumes, as well as to have those scientists identify their level of expertise in a variety of prevention science methods and content areas. The data collected with this software will be used to create a web-based tool that CSR staff can use to identify scientists with expertise in specific prevention science methods and content areas for invitation to serve on one of the CSR review panels. If successful, this system will also be shared with review staff in the other Institutes and Centers at NIH to use in the same way. Given our plans to create an automated system for reviewer information collection, we are now seeking OMB approval.</p>	
<p>12 Describe the type of information the system will collect, maintain (store), or share. (Subsequent an questions will identify if this information is PII and methodological about the specific data elements.)</p>	<p>Prevention scientists that would like to participant in the Expertise in Prevention Science program (EPS) will have ask opportunity to provide their content, CV, and</p>	
<p>13 Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily. their</p>	<p>The NIH Office of Disease Prevention (ODP) Expertise in Prevention Science (EPS) program is being developed to (1) identify experts in methodology who also have an expertise in content areas related to prevention science, (2) identify mid- and senior- level researchers who may have an interest in serving on study sections, and (3) to enrich the existing pool of NIH reviewers coordinated by the Center for Science Research (CSR) by including scientists with methodological and prevention science expertise that review prevention applications. Scientists interested in including information for the EPS program will provide some identifying information, content and methodological areas of expertise, Curriculum Vitae (CV) or professional resumes, and willingness to serve on a study section. They are vetted for inclusion in the EPS program based on their self-reported level of expertise in methodological and prevention science content areas, as well as, the information provided in their CVs.</p>	
<p>14 Does the system collect, maintain, use or share PII?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	

15 Indicate the type of PII that the system will collect or maintain.

<input type="checkbox"/> Social Security Number	<input type="checkbox"/> Date of Birth
<input checked="" type="checkbox"/> Name	<input type="checkbox"/> Photographic Identifiers
<input type="checkbox"/> Driver's License Number	<input type="checkbox"/> Biometric Identifiers
<input type="checkbox"/> Mother's Maiden Name	<input type="checkbox"/> Vehicle Identifiers
<input checked="" type="checkbox"/> E-Mail Address	<input type="checkbox"/> Mailing Address
<input checked="" type="checkbox"/> Phone Numbers	<input type="checkbox"/> Medical Records Number
<input type="checkbox"/> Medical Notes	<input type="checkbox"/> Financial Account Info
<input type="checkbox"/> Certificates	<input type="checkbox"/> Legal Documents
<input checked="" type="checkbox"/> Education Records	<input type="checkbox"/> Device Identifiers
<input type="checkbox"/> Military Status	<input type="checkbox"/> Employment Status
<input type="checkbox"/> Foreign Activities	<input type="checkbox"/> Passport
<input type="checkbox"/> Number Taxpayer ID	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

16 Indicate the categories of individuals about whom PII is collected, maintained or shared.

Employees

Public Citizens

Business Partners/Contacts (Federal, state, local agencies)

Vendors/Suppliers/Contractors

Patients

Other

17 How many individuals' PII is in the system?

18 For what primary purpose is the PII used?

19 Describe the secondary uses for which the PII will be used (e.g. testing, training or research)

20 Describe the function of the SSN.

20a Cite the **legal authority** to use the SSN.

21 Identify **legal authorities** governing information use and disclosure specific to the system and program.

Are records on the system retrieved by one or more  No  Yes

22 PII data elements?  No

22a Identify the number and title of the Privacy Act System of Records Notice (SORN) that is being used to cover the system or identify if a SORN is being developed.

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In Progress

23 Identify the sources of PII in the system.

Directly from an individual about whom the information pertains

In-Person

Hard Copy:

Mail/Fax

Email

Online

Government Sources

Other

Within the

OPDIV Other

HHS OPDIV

State/Local/Tribal

Foreign

Non-Government Sources

Other Federal

Entities

Other

Members of the Public

Commercial Data

Broker Public

23a Identify the OMB information collection approval number and expiration date.

Other

24 Is the PII shared with other organizations?

Yes

No

24a Identify with whom the PII is shared or disclosed and for what purpose.

Within HHS

NIH Center for Scientific Review

Other Federal Agency/Agencies

State or Local Agency/Agencies

Private Sector

Describe any agreements in place that authorizes the information sharing or disclosure (e.g. Computer Matching Agreement, Memorandum of Understanding (MOU), or Information Sharing Agreement (ISA)).

24b Matching Agreement, Memorandum of Understanding (MOU), or Information Sharing Agreement (ISA).

N/A

24c Describe the procedures for accounting

for disclosures



<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>	<p>Individuals are notified at two points that their personal information will be collected. On the landing page, the potential ESP participant is notified "If you chose to share your information, you may be asked to review applications, either on an ad hoc basis or as part of a study section." After the creation of a username/password, a potential participant must chose a disclosure:</p> <p>1. I agree to have contact information, areas of expertise, and willingness to be a reviewer shared with the Center for Scientific Review and others at the NIH. 2. I do not want my information shared.</p> <p>If a potential participant chooses not to share their information, they receive a thank you message and the system doesn't allow them to enter PII.</p>	<p> </p>
<p>26 Is the submission of PII by individuals voluntary or mandatory?</p>	<p><input checked="" type="radio"/> Voluntary <input type="radio"/> Mandatory</p>	<p> </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 opt-out, explain why. If they object to the information collection, provide a reason.</p>	<p>Participation in the EPS program is entirely voluntary. Participants have an opportunity to opt out prior to entering PII (see #25).</p>	<p> </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>EPS participants will receive an email:</p> <p>1. when major changes to the system requires them to update their information 2. each year asking them to update their information</p>	<p> </p>
<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.</p>	<p>The EPS website will have the ODP point of contact's information in case their are changes or concerns by participants. The ODP POC will have administrator privileges and will be able to make changes to or freeze an account.</p>	<p> </p>
<p>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.</p>	<p>Data from the EPS Tool and Software (ESTS) will be reviewed regularly by the ODP POC and CSR Scientific Review Officers for accuracy. If a participant's information is incorrect, the ODP POC will be notified and the EPS participant will be notified by email and asked to update their information to ensure data maintained is accurate and relevant.</p>	<p> </p>

<p>31 Identify who will have access to the PII in the system and the reason why they require access.</p>	<input checked="" type="checkbox"/> Users  <input checked="" type="checkbox"/> Administrators  <input type="checkbox"/> Developers  <input checked="" type="checkbox"/> Contractors  <input type="checkbox"/> Others	<p>CSR Scientific Review Officers will use the ESTS to identify potential grant reviewers with expertise in methodology.</p> <p>ODP Administrators will use the ESTS to ensure participants data is accurate and make any necessary modifications to records or the system.</p> <p>ODP contractors will have access to the system as back-up to the ODP Administrators and site developers.</p>	
<p>32 "system" Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.</p>	<p>Due to the nature of the EPS program, those deemed "users" by the ODP Director, or their designee, will have access to PII. Users will be able to view and download reports, but not modify information. Administrators and Contractors will be able to view and download information, as well as, modify and delete records.</p>		
<p>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.</p>	<p>All users will be granted access via PIV cards. CSR will submit a list of SROs that will utilize the system and the ODP Administrator and Contractor will work together to grant individual permissions.</p>		
<p>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.</p>	<p>A standard operating procedure will be developed to make users aware of the ESTS, its function, and their responsibilities for protecting PII.</p>		
<p>35 Describe training system users receive (above and beyond general security and privacy awareness training).</p>	<p>N/A</p>		
<p>36 Do contracts include Federal Acquisition Regulation and other appropriate clauses ensuring adherence to privacy provisions and practices?</p>		<p><input type="radio"/> Yes <input type="radio"/> No</p>	
<p>37 Describe the process and guidelines in place with regard to the retention and destruction of PII. Cite specific records retention schedules.</p>			
<p>38 Describe, briefly but with specificity, how the PII will be secured in the system using administrative, access, technical, and physical controls.</p>	<p>The ESTS data will be housed on the CIT/OIT server and accessible through PIV card log in. Only those ODP and CSR Director, or their designees, will receive EPS administrators and contractors are the only people allowed full access to the system.</p>		
<p>39 Identify the publicly-available URL:</p>	<p>under development, but will be housed on the ODP website (prevention.nih.gov)</p>		
<p>40 Does the website have a posted privacy notice?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>		

- 40a Is the privacy policy available in a machine-readable format?  Yes  No
- 41 Does the website use web measurement and customization technology?  Yes  No
- 42 Does the website have any information or pages directed at children under the age of thirteen?  Yes  No
- 43 Does the website contain links to non-federal government websites external to HHS?  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  
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?~~  Yes  No

Reviewer  
Notes

4 ~~Does the PIA appropriately describe the PII quality and integrity of the data?~~  Yes  No

Reviewer  
Notes

5 ~~Is this a candidate for PII minimization?~~  Yes  No

Reviewer  
Notes

6 ~~Does the PIA accurately identify data retention procedures and records retention schedules?~~  Yes  No

Reviewer  
Notes

7 ~~Are the individuals whose PII is in the system provided appropriate participation?~~  Yes  No

Reviewer  
Notes

Reviewer  
Notes



Reviewer Questions

Answer

8 Does the PIA raise any concerns about the security of the PII?

- Yes
- No

Reviewer Notes

9 Is applicability of the Privacy Act captured correctly and is a SORN published or does it need to be?

- Yes
- No

Reviewer Notes

10 Is the PII appropriately limited for use internally and with third parties?

- Yes
- No

Reviewer Notes

11 Does the PIA demonstrate compliance with all Web privacy requirements?

- Yes
- No

Reviewer Notes

12 Were any changes made to the system because of the completion of this PIA?

- Yes
- No

Reviewer Notes

General Comments

OPDIV Senior Official for Privacy Signature

HHS Senior Agency Official for Privacy