

06.1 HHS Privacy Impact Assessment (Form) / NIH NIEHS DERT Extramural Grantee Data Collection (DEGDC) (Item)

Form Report, printed by: Minneman, Kim, Feb 28, 2012

PIA SUMMARY

1

The following required questions with an asterisk (*) represent the information necessary to complete the PIA Summary for transmission to the Office of Management and Budget (OMB) and public posting in accordance with OMB Memorandum (M) 03-22.

Note: If a question or its response is not applicable, please answer "N/A" to that question where possible. If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of personally identifiable information (PII). If no PII is contained in the system, please answer questions in the PIA Summary Tab and then promote the PIA to the Senior Official for Privacy who will authorize the PIA. If this system contains PII, all remaining questions on the PIA Form Tabs must be completed prior to signature and promotion.

2 Summary of PIA Required Questions

*Is this a new PIA?
Yes

If this is an existing PIA, please provide a reason for revision:

*1. Date of this Submission:
Feb 28, 2012

*2. OPDIV Name:
NIH

*4. Privacy Act System of Records Notice (SORN) Number (If response to Q.21 is Yes, a SORN number is required for Q.4):
N/A

*5. OMB Information Collection Approval Number:
Not obtained yet.

*6. Other Identifying Number(s):
N/A

*7. System Name (Align with system item name):
NIH NIEHS DERT Extramural Grantee Data Collection (DEGDC)

*9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed:

Point of Contact Information	
POC Name	Kristi Pettibone

*10. Provide an overview of the system:
We are seeking clearance from the Office of Management and Budget to collect data on grantee outcomes and impacts that are not reported in their progress reports. We are also asking to collect information on their satisfaction with the program management process. We will collect the information using a survey that will be available as a paper-based or a web-based survey. The information collected will be stored in an electronic database. This electronic database is the system. We will use a unique identifier for each respondent rather than a name.

*13. Indicate if the system is new or an existing one being modified:
New

*17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?
No

TIP: If the answer to Question 17 is "No" (indicating the system does not contain PII), only the remaining PIA Summary tab questions need to be completed and submitted. If the system does contain PII, the full PIA must be completed and submitted. (Although note that "Employee systems," - i.e., systems that collect PII "permitting the physical or online contacting of a specific individual ... employed [by] the Federal Government - only need to complete the PIA Summary tab.)

No

17a. Is this a GSS PIA included for C&A purposes only, with no ownership of underlying application data? If the response to Q.17a is Yes, the response to Q.17 should be No and only the PIA Summary must be completed.
Yes
*19. Are records on the system retrieved by 1 or more PII data elements?
No
*21. Is the system subject to the Privacy Act? (If the response to Q.19 is Yes, the response to Q.21 must be Yes and a SORN number is required for Q.4)
No
*23. If the system shares or discloses PII, please specify with whom and for what purpose(s):
N/A
*30. Please describe in detail: (1) The information the agency will collect, maintain, or disseminate (clearly state if the information contained in the system ONLY represents federal contact data); (2) Why and for what purpose the agency will use the information; (3) Explicitly indicate whether the information contains PII; and (4) Whether submission of personal information is voluntary or mandatory:
(1) Outcome information to be collected includes measures of agency-funded research resulting in dissemination of findings, investigator career development, grant-funded knowledge and products, commercial products and drugs, laws, regulations and standards, guidelines and recommendations, information on patents and new drug applications and community outreach and public awareness relevant to extramural research funding and emerging areas of research. Satisfaction information to be collected includes measures of satisfaction with the type of funding or program management mechanism used, challenges and benefits with the program support received, and gaps in the research. (2) Information gained from this primary data collection will be used in conjunction with data from grantee progress reports and presentations at grantee meetings to inform internal programs and new funding initiatives. The information will be used to inform programmatic improvements within the National Institute of Environmental Health Science's Division of Extramural Research and Training. (3) The data collected does not include any PII (4) The data collected does not include any PII so it is neither voluntary nor mandatory. Completion of the survey is voluntary.
*31. Please describe in detail any processes in place to: (1) 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 the original collection); (2) Notify and obtain consent from individuals regarding what PII is being collected from them; and (3) How the information will be used or shared. (Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]):
No PII will be collected in this survey.
*32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII)
Yes
*37. Does the website have any information or pages directed at children under the age of thirteen?
No
*50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN)
Not Applicable
*54. Briefly describe in detail how the PII will be secured on the system using administrative, technical, and physical controls:
No PII will be collected on the system.

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WEBSITE HOSTING PRACTICES

1 Website Hosting Practices
 *32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII)

Yes

Please indicate "Yes" or "No" for each type of site below. If the system hosts both Internet and Intranet sites, indicate "Yes" for "Both" only.	Yes/ No	If the system hosts an Internet site, please enter the site URL. Do not enter any URL(s) for Intranet sites.
Internet	No	
Intranet	Yes	
Both	No	

33. Does the system host a website that is accessible by the public and does not meet the exceptions listed in OMB M-03-22?

Note: OMB M-03-22 Attachment A, Section III, Subsection C requires agencies to post a privacy policy for websites that are accessible to the public, but provides three exceptions: (1) Websites containing information other than "government information" as defined in OMB Circular A-130; (2) Agency intranet websites that are accessible only by authorized government users (employees, contractors, consultants, fellows, grantees); and (3) National security systems defined at 40 U.S.C. 11103 as exempt from the definition of information technology (see section 202(i) of the E-Government Act).

No

34. If the website does not meet one or more of the exceptions described in Q. 33 (i.e., response to Q. 33 is "Yes"), a website privacy policy statement (consistent with OMB M-03-22 and Title II and III of the E-Government Act) is required. Has a website privacy policy been posted?

Not Applicable

35. If a website privacy policy is required (i.e., response to Q. 34 is "Yes"), is the privacy policy in machine-readable format, such as Platform for Privacy Preferences (P3P)?

Not Applicable

35a. If no, please indicate when the website will be P3P compliant:

Not Applicable

36. Does the website employ tracking technologies?

Yes

Please indicate "Yes", "No", or "N/A" for each type of cookie below:	Yes/No/N/A
Web Bugs	No
Web Beacons	No
Session Cookies	Yes
Persistent Cookies	No
Other	N/A

*37. Does the website have any information or pages directed at children under the age of thirteen?

No

37a. If yes, is there a unique privacy policy for the site, and does the unique privacy policy address the process for obtaining parental consent if any information is collected?

N/A

38. Does the website collect PII from individuals?

No

Please indicate "Yes" or "No" for each category below:	Yes/No
Name (for purposes other than contacting federal employees)	No
Date of Birth	No
SSN	No
Photographic Identifiers	No
Driver's License	No
Biometric Identifiers	No
Mother's Maiden Name	No
Vehicle Identifiers	No
Personal Mailing Address	No
Personal Phone Numbers	No
Medical Records Numbers	No
Medical Notes	No
Financial Account Information	No
Certificates	No
Legal Documents	No
Device Identifiers	No
Web URLs	No
Personal Email Address	No
Education Records	No
Military Status	No
Employment Status	No
Foreign Activities	No
Other	N/A

39. Are rules of conduct in place for access to PII on the website?

Not Applicable

40. Does the website contain links to sites external to HHS that owns and/or operates the system?

No

40a. If yes, note whether the system provides a disclaimer notice for users that follow external links to websites not owned or operated by HHS.

N/A

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APPROVAL/DEMOTION

1	System Information	
System Name:	NIH NIEHS DERT Extramural Grantee Data Collection (DEGDC)	
2	PIA Reviewer Approval/Promotion or Demotion	
Promotion/Demotion:	Promote	
Comments:		
Approval/Demotion Point of Contact:	Kim Minneman	
Date:	Feb 28, 2012	
3	Senior Official for Privacy Approval/Promotion or Demotion	
Promotion/Demotion:		
Comments:		
4	OPDIV Senior Official for Privacy or Designee Approval	
Please print the PIA and obtain the endorsement of the reviewing official below. Once the signature has been collected, retain a hard copy for the OPDIV's records. Submitting the PIA will indicate the reviewing official has endorsed it		
This PIA has been reviewed and endorsed by the OPDIV Senior Official for Privacy or Designee (Name and Date):		
Name:	_____	
Date:	_____	
Name:	_____	
Date:	_____	
5	Department Approval to Publish to the Web	
Approved for web publishing	_____	
Date Published:	_____	
Publicly posted PIA URL or no PIA URL explanation:	_____	