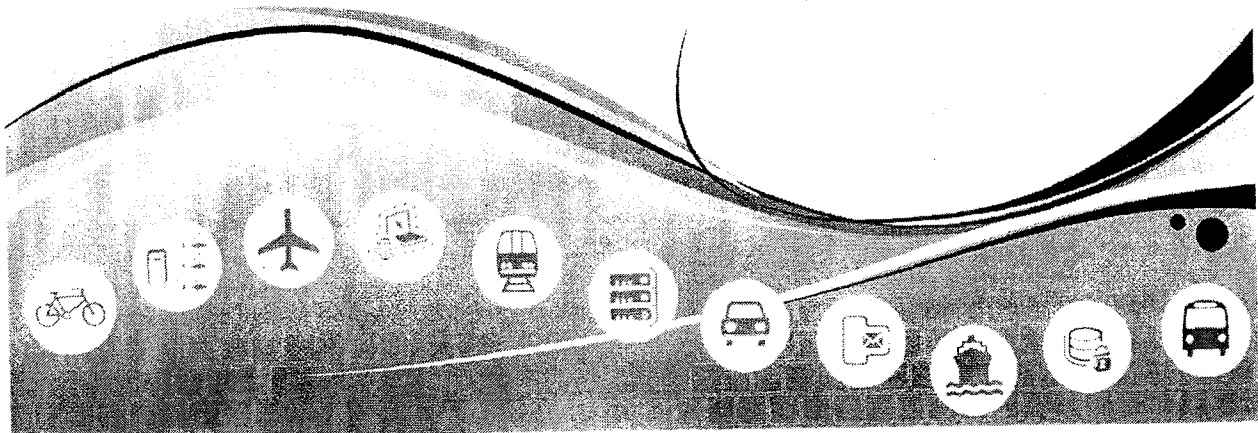/

OCIO Office of the DOT
Chief Information Officer

Privacy Threshold Assessment (PTA)

DOT/Maritime Administration
Office of Deepwater Ports and Offshore Activities
IC 2133-0524, Application for Conveyance of Port
Facility Property

adjudication. Only PTAs watermarked "adjudicated" and electronically signed by the DOT CPO are considered final. Do NOT send the PTA directly to the DOT PO; PTAs received by the DOT CPO directly from program/business owners will not be reviewed.

If you have questions or require assistance to complete the PTA please contact your Component Privacy Officer or the DOT Privacy Office at privacy@dot.gov. Explanatory guidance for completing the PTA can be found in the PTA Development Guide found on the DOT Privacy Program website, www.dot.gov/privacy.

Rulemaking Identification Number (RIN): *<<Provide RIN assigned by OMB's electronic docketing system>>*

    Rulemaking Stage:

    ☐ **Notice of Proposed Rulemaking (NPRM)**

    ☐ **Supplemental NPRM (SNPRM)**:

    ☐ **Final Rule:**

    Federal Register (FR) Notice: *<<Provide full Rulemaking Name, Federal Register citation, and web address if available.>>*

☒ **Information Collection Request (ICR)**[3]

    ☐ **New Collection**

    ☒ **Approved Collection or Collection Renewal**

        ☒ **OMB Control Number:** 2133-0524

        ☒ **Control Number Expiration Date:** June 30, 2018

☐ **Other:** *<<Describe the type of project>>*

1.2   ***System OVERVIEW:*** The Port Conveyance Program collects information from applicants and landholding recipients as the result of a submitted application for property or through post-conveyance follow-up questions. The only entities that are eligible to receive property through the Port Conveyance Program are states, territorites and possessions of the United States, the District of Columbia and their jurisdictions, therefore information is ONLY collected regarding these entities. **GENERALLY, <u>PII IS NOT COLLECTED FROM PROPERTY APPLICANTS OR RECIPIENTS.</u> Most of the information that is secured is publicly available (by local statute or by regulation) and is often available on the applicant's website or other publicly available documents. Further, MARAD does not have an electronic repository for storing information above and beyond the DOT network, which is encrypted and requires access through a PIV card issued by DOT.** The primary method to request information and store the responses consists of sending information by email and receiving responses by e-mail; however, respondents have the option to submit responses by postal mail. Replies that are sent by paper mail to MARAD are scanned in an electronic format and stored on the

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[3]See 44 USC 3201-3521; 5 CFR Part 1320

STOP

If the answer to 2.1 is *"System Does Not Collect PII"* **and** the answer to 2.3 is *"No"*, you may proceed to question 2.10.
If the system collects PII or relate to individual in any way, proceed to question 2.4.

2.4   Does the system use or collect SOCIAL SECURITY NUMBERS (SSNs)? (This includes truncated SSNs)

☐ **Yes:**

Authority: *<< Provide explicit legal authority for collection or use of SSN in the system.>>*

Purpose: *<< Describe how the SSN is used and why it is necessary as opposed to lower-risk identifiers.>>*

☒ **No:** The system does not use or collect SSNs, including truncated SSNs. Proceed to 2.6.

2.5   Has an SSN REDUCTION plan been established for the system?

☐ **Yes:** *<< Provide the details of the reduction plan including date conducted, alternatives evaluated, determination reached and any steps taken to reduce the SSN collection and use.>>*

☐ **No:** *<< A system without an SSN reduction plan is in violation of the Privacy Act. Explain why a reduction plan has yet to be completed and provide an anticipated completion date.>>*

2.6   Does the system collect PSEUDO-SSNs?

☐ **Yes:** *<< Describe how the pseudo-SSNs are used to accomplish the authorized purpose and why they are necessary as opposed to lower-risk identifiers.>>*

☒ **No:** The system does not collect pseudo-SSNs, including truncated SSNs.

2.7   Will information about individuals be retrieved or accessed by a UNIQUE IDENTIFIER associated with or assigned to an individual?

☐ **Yes**

Is there an existing Privacy Act System of Records notice (SORN) for the records retrieved or accessed by a unique identifier?

☐ **Yes:**

SORN:

The records are kept indefinitely to coincide with the timeline of property transfers, which are also in perpetuity. https://www.archives.gov/records-mgmt/rcs /schedules /departments/department-of-transportation/rg-0357/nc1-357-81-02_sf115.pdf *>>*

Schedule Summary: *<< Provide a synopsis of the relevant portion(s) of the schedule.>>*

☐ **In Progress:** *<< Include proposed schedule, when it will be submitted to NARA, or job code.>>*

☐ **No:**

3 SYSTEM LIFECYCLE

The systems development life cycle (SDLC) is a process for planning, creating, testing, and deploying an information system. Privacy risk can change depending on where a system is in its lifecycle.

3.1 *Was this system IN PLACE in an ELECTRONIC FORMAT prior to 2002?*

The E-Government Act of 2002 (EGov) establishes criteria for the types of systems that require additional privacy considerations. It applies to systems established in 2002 or later, or existing systems that were modified after 2002.

☐   **Yes:** <<Provide date was the system established as an electronic system.>>

☒**Not Applicable:** System is not currently an electronic system. Proceed to Section 4.

3.2 *Has the system been MODIFIED in any way since 2002?*

☐ **Yes:** The system has been modified since 2002.

☐ **Maintenance.**

☐ **Security.**

☐ **Changes Creating Privacy Risk:** *<< Describe any modification that may introduce new privacy risk, including but not limited to: paper to electronic conversions, changing anonymous information into information in identifiable form, significant system management changes (including application of new technologies), significant system or data merging, use of new authentication technologies in support of public access, commercial data sources, new interagency uses, changes in internal flow or data collection, or alternation of data characterization.>>*

☐ **Other:** *<< Describe >>*

☐ **No:** The system has not been modified in any way since 2002.

3.3 *Is the system a CONTRACTOR-owned or -managed system?*

☐ **Yes:** The system is owned or managed under contract.

Contract Number: *<<Contract #>>*

Name: <<*Provide the full name of the Component Privacy Officer and any preferred shortening.* Shelly Nuessle >>

Email: <<*Provide the Component Privacy Officer's official DOT email address and dedicated Component Privacy email account.* shelly.nuessle@dot.gov>>

Phone Number: <<*Provide the Component Privacy Officer's direct phone number.* 202-366-1104>>

COMPONENT PRIVACY OFFICER Analysis

~~<< In addition to a review for overall completion, the Component PO analyzes the PTA, identifies any discrepancies in cited compliance activities, proposes resolutions, and addresses the need for additional privacy compliance documentation. Analysis identifies discrepancies in cited compliance activities and proposed resolutions. >>~~

Although the system does not intentionally gather PII, it may receive incidental information via email or response. Also, since this data is ✱

5 COMPONENT REVIEW

Prior to submitting the PTA for adjudication, it is critical that the oversight offices within the Component have reviewed the PTA for completeness, comprehension and accuracy.

Component Reviewer	Name	Review Date
Business Owner	[Business Owner Reviewer] *Gretta M. Hill*	[Business Owner Review Date] *April 25, 2018*
General Counsel	[General Counsel Reviewer]	[General Counsel Review Date]
Information System Security Manager (ISSM)	[ISSM Reviewer] *(signature)*	[ISSM Review Date] *5/15/18*
Privacy Officer	[Privacy Officer Reviewer] *(signature)*	*5/15/18*
Records Officer	<<Records Officer Name>>	<<Review Date>>

Table 1 - Individuals who have reviewed the PTA and attest to its completeness, comprehension and accuracy.

✱ *she saved on common drives, it is an electronic system and the Maciad Privacy Office believes it should have a Privacy Impact Assessment created.*

TO BE COMPLETED BY THE DOT PRIVACY OFFICE

Adjudication Review COMPLETED: 5/20/2019

DOT Privacy Office REVIEWER: Brian F. Bullock

DESIGNATION

☐ **This is NOT a Privacy Sensitive System – the system contains no Personally Identifiable Information.**

☒ **This IS a Privacy Sensitive System**

    ☒ **IT System.**
    ☐ **National Security System.**
    ☐ **Legacy System.**
    ☐ **HR System.**
    ☐ **Rule.**
    ☐ **Other:**

DETERMINATION

☒ *PTA is sufficient at this time.*

☐ *Privacy compliance documentation determination in progress.*

PIA

    ☒ *PIA is not required at this time:*

    ☐ *PIA is required.*

        ☐   *System covered by existing PIA:* <<Identify PIA>>
        ☐   *New PIA is required.* <<Rationale>>
        ☐   *PIA update is required.* <<Rationale>>

SORN

    ☒ *SORN not required at this time.*

    ☐ *SORN is required.*

        ☐   *System covered by existing SORN:*
        ☐   *New SORN is required.* <<Rationale>>
        ☐   *SORN update is required.* <<Rationale>>

DOT PRIVACY OFFICE COMMENTS

The DOT Chief Privacy Officer (DOT CPO) has determined that the Port Conveyance Program collects personally identifiable information (PII) on individuals and constitutes a privacy sensitive system. However, based on the discussions held with MARAD the week of the May 13, 2019, information maintained by the system is necessary business contact information of state and local government employees who are official points of contact, and the information is incidental to the purpose of the system (to convey real property to governmental entities). The DOT CPO has determined that a Privacy Impact Assessment (PIA) is not required.

Although business contact information for individuals working in their official governmental capacity is present in the system, the information maintained the system pertains to entities that are eligible to receive property through the program (states, territories and possessions of the United States). It does not pertain to the individuals, themselves, and based on discussions with MARAD the week of May 13, 2019, this information is retrieved only by the name of the eligible entity. Therefore, a Privacy Act system of records notice (SORN) is not required.

POA&Ms

- *AR-2(b) – Privacy Impact and Risk Assessment*
  Issue: The PTA that was submitted is not complete (Pages 3,5,7, and 9 are missing) the DOT CPO is unable to fully assess the privacy risks and requisite mitigations that are applied to the system, based on the information provided herein. Requirement: MARAD must submit a new PTA that includes all missing pages to the DOT CPO. Timeline: 30 days from the adjudication of this PTA.

The adjudicated PTA should be uploaded into CSAM as evidence that the required privacy analysis for this system has been completed and CSAM entries modified as appropriate to reflect the disposition.

The PTA should be updated not later than the next security assessment cycle and must be approved by the DOT CPO prior to the authorization decision. Component policy or substantive changes to the system may require that the PTA be updated prior to the next security assessment cycle.