

# US Department of Health and Human Services

## Privacy Impact Assessment

**Date Signed:**

06/10/2014

**OPDIV:**

SAMHSA

**Name:**

Disaster Technical Assistance Center

**PIA Unique Identifier:**

P-7050724-896771

**The subject of this PIA is which of the following?**

Electronic Information Collection

**Identify the Enterprise Performance Lifecycle Phase of the system.**

Initiation

**Is this a FISMA-Reportable system?**

Yes

**Does the system include a Website or online application available to and for the use of the general public?**

No

**Identify the operator.**

Agency

**Is this a new or existing system?**

New

**Does the system have Security Authorization (SA)?**

No

**Indicate the following reason(s) for updating this PIA.****Describe the purpose of the system.**

The data to be collected will provide SAMHSA Disaster Technical Assistance (TA) Center (DTAC) with comprehensive feedback on the services it provides. The proposed data collection will provide feedback on how to maximize the usefulness of SAMHSA DTAC's services as well as identify needs at the national level and areas that require enhanced training and TA services. The ever changing needs of the disaster behavioral health field require continual feedback to ensure SAMHSA DTAC provides training and TA that addresses current needs.

**Describe the type of information the system will collect, maintain (store), or share.**

There are two versions of the National Assessment Survey (NAS): the Disaster Behavioral Health Needs Assessment Survey - State/Territory Version (STCNAS) and the Disaster Behavioral Health Needs Assessment Survey—Local Provider Version (LPNAS) . These NAS instruments are designed to collect information on disaster behavioral health (DBH) preparedness and response. SAMHSA will use this information to inform the development and formats of the types of support (e. g., training, technical assistance) provided by SAMHSA DTAC. There is also a DTAC Customer Satisfaction Survey.

**Provide an overview of the system and describe the information it will collect, maintain (store), or share,**

The system will collect survey responses to the National Assessment Surveys and the DTAC Customer Satisfaction Survey.

Demographic information is collected as a means to contact survey respondents.

**Does the system collect, maintain, use or share PII?**

Yes

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

Name

E-Mail Address

Phone Numbers

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

Business Partner/Contacts (Federal/state/local agencies)

**How many individuals' PII is in the system?**

500-4,999

**For what primary purpose is the PII used?**

Notification that surveys are available online if indicated persons wish to complete.

**Describe the secondary uses for which the PII will be used.**

Development and/or improvement of training and technical assistance resources in the area of disaster behavioral health.

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

Robert T. Stafford Disaster Relieve and Emergency Assistance Act, as Amended

**Are records on the system retrieved by one or more PII data elements?**

No

**Identify the sources of PII in the system.****Directly from an individual about whom the information pertains**

Email

Online

**Government Sources**

Within OpDiv

State/Local/Tribal

**Non-Governmental Sources**

Private Sector

**Identify the OMB information collection approval number and expiration date**

OMB No. 0930-0325; Expiration Date: 06/30/14

**Is the PII shared with other organizations?**

No

**Describe the process in place to notify individuals that their personal information will be collected. If no prior notice is given, explain the reason.**

Respondents are informed on the first page of the web survey that participation in the survey and answering each question is voluntary. Below are excerpts from the survey landing pages:

STCNAS and LPNAS – "Participation is completely voluntary. You can choose whether or not to take the survey; you can skip any questions or stop without finishing the survey. Whether or not you complete the survey will not affect any services you receive from SAMHSA DTAC."

CSS – "Participation in this survey is completely voluntary. You can decide whether or not to take the survey and which questions to answer. If you choose to participate, any information you provide will be treated as confidential, and we will report information at only an aggregate level."

**Is the submission of PII by individuals voluntary or mandatory?**

Voluntary

**Describe the method for individuals to opt-out of the collection or use of their PII. If there is no option to object to the information collection, provide a reason.**

Demographic questions are not required to complete the survey, and respondents are informed prior to starting the survey that the questions are voluntary.

Names and contact information are not collected as part of the survey.

For the STCNAS, any PII has been collected by SAMHSA DTAC prior to this study and will be used only for sampling purposes; the survey does not ask any PII.

For the LPNAS, PII is collected from STCNAS about the Local Providers with whom they have a MOU, in order to construct a sampling frame. Demographic survey questions are mostly regarding their employer organization, and respondent demographic questions are general (e.g., number of years working in DBH field).

For the CSS, any PII has been collected by SAMHSA DTAC prior to this study and will be used only for sampling purposes; the survey does not ask any PII.

**Process to notify and obtain consent from individuals whose PII is in the system when major changes occur to the system.**

Should any major system changes occur that impact PII, individuals will be contacted by the SAMHSA DTAC Survey Helpdesk by phone call and email.

**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.**

State or Territorial Employees are listed as part of employee public record. However, in case of any questions or concerns, respondents are provided with the contact information for the SAMHSA DTAC Survey Helpdesk (phone and email) and with Dr. Nikki Bellamy's contact information.

**Describe the process in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy and relevancy.**

Monthly review to determine if there has been a change in state or territorial disaster behavioral health coordinators so that contact list may be updated. Weekly checks to determine progress status for survey completeness and reminder notifications.

**Identify who will have access to the PII in the system and the reason why they require access.****Contractors:**

Contract staff assigned to SAMHSA DTAC will be maintaining the data collection and results database in order to conduct aggregate analysis and writing of the findings report.

**Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.**

Only authorized contract staff will be given access to the files. Contract staff members who are involved in data analysis are required to undergo security awareness training.

**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.**

The data collected by surveys are stored on ICF contractor-owned servers. The physical servers are locked in a restricted access cage inside of a Tier IV data center. Remote access to the system is granted only to the technical administrators, and all data access is restricted per account to designated authorized users. Data files that contain PII, SI, or both, will be maintained in password-protected folders. Only authorized staff will be given access to the files. Furthermore, access to the files containing PII and SI will be granted only on an as-needed basis and only to those with the necessary clearance to handle the data. In addition, all staff members involved in data analysis are required to undergo security awareness training.

**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.**

Privacy and Security training

**Describe training system users receive (above and beyond general security and privacy awareness training).**

N/A

**Do contracts include Federal Acquisition Regulation and other appropriate clauses ensuring adherence to privacy provisions and practices?**

Yes

**Describe the process and guidelines in place with regard to the retention and destruction of PII.**

The data will remain available according to standard federal requirements applicable to file storage.

**Describe, briefly but with specificity, how the PII will be secured in the system using administrative, technical, and physical controls.**

The contractor uses in-house computing resources and servers for online data-collection efforts for security, efficiency, and reliability features. The system configuration guarantees a solution that can handle large numbers of respondents and ensures uninterrupted Web site operation during the survey field period, 24 hours a day, 7 days a week, every day of the year. , the contractor maintains network and computer system environments that include a number of security software and protocols. The contractor's environments are centrally maintained and include the following security / maintenance software: Antiviruses, Operating System Patch Management, Anti-malware / Anti-spyware, and Intrusion Detection. The responses to web survey items are maintained in a non-outward facing, secure data store only accessible by members of the project team and technical system administrators.