



## **PRIVACY THRESHOLD ANALYSIS (PTA)**

**This form is used to determine whether a Privacy Impact Assessment is required.**

Please use the attached form to determine whether a Privacy Impact Assessment (PIA) is required under the E-Government Act of 2002 and the Homeland Security Act of 2002.

Please complete this form and send it to your component Privacy Office. If you do not have a component Privacy Office, please send the PTA to the DHS Privacy Office:

Senior Director, Privacy Compliance  
The Privacy Office  
U.S. Department of Homeland Security  
Washington, DC 20528  
Tel: 202-343-1717

PIA@hq.dhs.gov

Upon receipt from your component Privacy Office, the DHS Privacy Office will review this form. If a PIA is required, the DHS Privacy Office will send you a copy of the Official Privacy Impact Assessment Guide and accompanying Template to complete and return.

A copy of the Guide and Template is available on the DHS Privacy Office website, [www.dhs.gov/privacy](http://www.dhs.gov/privacy), on DHSConnect and directly from the DHS Privacy Office via email: [pia@hq.dhs.gov](mailto:pia@hq.dhs.gov), phone: 202-343-1717.



## PRIVACY THRESHOLD ANALYSIS (PTA)

### SUMMARY INFORMATION

<b>Project or Program Name:</b>	<b>New and Emerging Technologies Acceptance and Evaluation Survey Research</b>		
<b>Component:</b>	Science and Technology (S&T)	<b>Office or Program:</b>	First Responders Group
<b>Xacta FISMA Name (if applicable):</b>	Click here to enter text.	<b>Xacta FISMA Number (if applicable):</b>	Click here to enter text.
<b>Type of Project or Program:</b>	<b>Program</b>	<b>Project or program status:</b>	<b>Non-Operational</b>
<b>Date first developed:</b>	<b>July 26, 2016</b>	<b>Pilot launch date:</b>	<b>July 29, 2016</b>
<b>Date of last PTA update</b>	<b>July 26, 2016</b>	<b>Pilot end date:</b>	<b>May 31, 2018</b>
<b>ATO Status (if applicable)</b>	Choose an item.	<b>ATO expiration date (if applicable):</b>	Click here to enter a date.

### PROJECT OR PROGRAM MANAGER

<b>Name:</b>	<b>Dr. Kathleen Deloughery</b>		
<b>Office:</b>	<b>1120 Vermont Ave. 8-218</b>	<b>Title:</b>	Social Scientist
<b>Phone:</b>	<b>202 254 6189</b>	<b>Email:</b>	Kathleen.deloughery@hq.dhs.gov

### INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)

<b>Name:</b>	Click here to enter text.		
<b>Phone:</b>	Click here to enter text.	<b>Email:</b>	Click here to enter text.



## SPECIFIC PTA QUESTIONS

<p><b>1. Reason for submitting the PTA: New PTA</b></p> <p>DHS S&amp;T is contracting with outside vendors to conduct survey research. The survey research will help DHS better understand public perceptions of new and emerging technologies such as the Rapid DNA Testing systems, TSA screening systems and operational uses of unmanned aircraft and social media data.</p> <p>The survey research effort is designed such that any PII collected or used is held by the outside vendors. The vendors provide DHS with anonymized, aggregated data and reports. DHS S&amp;T will not receive any survey research PII.</p> <p>The purpose of this PTA is to satisfy Paperwork Reduction Act compliance requirements.</p>
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<p><b>2. Does this system employ any of the following technologies:</b></p> <p><i>If you are using any of these technologies and want coverage under the respective PIA for that technology please stop here and contact the DHS Privacy Office for further guidance.</i></p>	<p><input type="checkbox"/> Closed Circuit Television (CCTV)</p> <p><input type="checkbox"/> Social Media</p> <p><input type="checkbox"/> Web portal<sup>1</sup> (e.g., SharePoint)</p> <p><input type="checkbox"/> Contact Lists</p> <p><input checked="" type="checkbox"/> None of these</p>
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<p><b>3. From whom does the Project or Program collect, maintain, use, or disseminate information?</b></p> <p><i>Please check all that apply.</i></p>	<p><input type="checkbox"/> This program does not collect any personally identifiable information<sup>2</sup></p> <p><input checked="" type="checkbox"/> Members of the public</p> <p><input type="checkbox"/> DHS employees/contractors (list components):</p> <p><input type="checkbox"/> Contractors working on behalf of DHS</p> <p><input type="checkbox"/> Employees of other federal agencies</p>
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<sup>1</sup> Informational and collaboration-based portals in operation at DHS and its components that collect, use, maintain, and share limited personally identifiable information (PII) about individuals who are “members” of the portal or “potential members” who seek to gain access to the portal.

<sup>2</sup> DHS defines personal information as “Personally Identifiable Information” or PII, which is any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department. “Sensitive PII” is PII, which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. For the purposes of this PTA, SPII and PII are treated the same.



<b>4. What specific information about individuals is collected, generated or retained?</b>	
DHS S&T will not collect, use or share any survey research personally identifiable information. Outside vendors will conduct the surveys and retain any PII collected. The PII is the property of the outside vendors. The vendors will provide S&T with anonymized, aggregated data and reports.	
<b>4(a) Does the project, program, or system retrieve information by personal identifier?</b>	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If yes, please list all personal identifiers used:
<b>4(b) Does the project, program, or system use Social Security Numbers (SSN)?</b>	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes.
<b>4(c) If yes, please provide the specific legal basis and purpose for the collection of SSNs:</b>	Click here to enter text.
<b>4(d) If yes, please describe the uses of the SSNs within the project, program, or system:</b>	Click here to enter text.
<b>4(e) If this project, program, or system is an information technology/system, does it relate solely to infrastructure?</b>  <i>For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)?</i>	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If a log kept of communication traffic, please answer the following question.
<b>4(f) If header or payload data<sup>3</sup> is stored in the communication traffic log, please detail the data elements stored.</b>	
Click here to enter text.	

<sup>3</sup> When data is sent over the Internet, each unit transmitted includes both header information and the actual data being sent. The header identifies the source and destination of the packet, while the actual data is referred to as the payload. Because header information, or overhead data, is only used in the transmission process, it is stripped from the packet when it reaches its destination. Therefore, the payload is the only data received by the destination system.



<p><b>5. Does this project, program, or system connect, receive, or share PII with any other DHS programs or systems<sup>4</sup>?</b></p>	<p><input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list: Click here to enter text.</p>
<p><b>6. Does this project, program, or system connect, receive, or share PII with any external (non-DHS) partners or systems?</b></p>	<p><input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list: Click here to enter text.</p>
<p><b>6(a) Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, LOI, etc.)?</b></p>	<p>No</p>
<p><b>7. Does the project, program, or system provide role-based training for personnel who have access in addition to annual privacy training required of all DHS personnel?</b></p>	<p><input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list:</p>
<p><b>8. Per NIST SP 800-53 Rev. 4, Appendix J, does the project, program, or system maintain an accounting of disclosures of PII to individuals who have requested access to their PII?</b></p>	<p><input checked="" type="checkbox"/> No. What steps will be taken to develop and maintain the accounting: Because DHS is not collecting, using or sharing survey research PII, no accounting of disclosures is necessary. <input type="checkbox"/> Yes. In what format is the accounting maintained:</p>
<p><b>9. Is there a FIPS 199 determination?<sup>4</sup></b></p>	<p><input type="checkbox"/> Unknown. <input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. Please indicate the determinations for each of the following:  Confidentiality: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined  Integrity: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined</p>

<sup>4</sup> PII may be shared, received, or connected to other DHS systems directly, automatically, or by manual processes. Often, these systems are listed as “interconnected systems” in Xacta.

<sup>4</sup> FIPS 199 is the [Federal Information Processing Standard](#) Publication 199, Standards for Security Categorization of Federal Information and Information Systems and is used to establish security categories of information systems.



## Privacy Threshold Analysis

Version number: 01-2014

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	Availability: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined
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### PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

<b>Component Privacy Office Reviewer:</b>	Christopher S. Lee
<b>Date submitted to Component Privacy Office:</b>	July 26, 2016
<b>Date submitted to DHS Privacy Office:</b>	July 27, 2016
<b>Component Privacy Office Recommendation:</b>	
<i>Please include recommendation below, including what new privacy compliance documentation is needed.</i>	
This PTA is being submitted to comply with DHS Paperwork Reduction Act policies.	
DHS S&T has structured the survey such that DHS will not collect, use or share any PII.	
The outside vendors conducting the surveys own and are responsible for managing and maintaining any PII collected, used or shared in the course of the survey research efforts.	
No PIA or SORN is required because there is no DHS collection, use or sharing of PII.	

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

<b>DHS Privacy Office Reviewer:</b>	Riley Dean
<b>PCTS Workflow Number:</b>	1128765
<b>Date approved by DHS Privacy Office:</b>	July 29, 2016
<b>PTA Expiration Date</b>	July 29, 2019

### DESIGNATION

<b>Privacy Sensitive System:</b>	No If "no" PTA adjudication is complete.
<b>Category of System:</b>	Choose an item. If "other" is selected, please describe: <a href="#">Click here to enter text.</a>



<b>Determination:</b>	<input checked="" type="checkbox"/> PTA sufficient at this time. <input type="checkbox"/> Privacy compliance documentation determination in progress. <input type="checkbox"/> New information sharing arrangement is required. <input type="checkbox"/> DHS Policy for Computer-Readable Extracts Containing Sensitive PII applies. <input type="checkbox"/> Privacy Act Statement required. <input type="checkbox"/> Privacy Impact Assessment (PIA) required. <input type="checkbox"/> System of Records Notice (SORN) required. <input type="checkbox"/> Paperwork Reduction Act (PRA) Clearance may be required. Contact your component PRA Officer. <input type="checkbox"/> A Records Schedule may be required. Contact your component Records Officer.
<b>PIA:</b>	Choose an item. If covered by existing PIA, please list: <a href="#">Click here to enter text.</a>
<b>SORN:</b>	Choose an item. If covered by existing SORN, please list: <a href="#">Click here to enter text.</a>
<b>DHS Privacy Office Comments:</b>	
<i>Please describe rationale for privacy compliance determination above.</i>	
<p>S&amp;T is submitting this PTA to discuss survey research which will help DHS better understand public perceptions of new and emerging technologies such as the Rapid DNA Testing systems, TSA screening systems and operational uses of unmanned aircraft and social media data. This research is being conducted by outside vendors. Any PII that is collected or used during the survey by outside vendors is not received by S&amp;T/DHS. Rather, the information is provided to S&amp;T/DHS as anonymized, aggregated data and reports.</p> <p>The DHS Privacy Office finds that this is a non-privacy sensitive program. Neither a PIA nor a SORN are required.</p> <p>The surveys must be clear that the PII that volunteers submit will not be collected by or transferred to DHS.</p>	