

06.3 HHS PIA Summary for Posting (Form) / SAMHSA CSAP Prevention Management Reporting and Training System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

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

1. Date of this Submission: 8/26/2010

2. OPDIV Name: SAMHSA

3. Unique Project Identifier (UPI) Number: 009-30-01-29-01-1006-00-110-028

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-30-0027

5. OMB Information Collection Approval Number: 09390-0197

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

7. System Name (Align with system Item name): Prevention Management, Reporting, and Training System

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: Charles Reynolds

10. Provide an overview of the system: The Prevention Management, Reporting, and Training System was established in conformance with the Public Health Service Act, as amended by the Anti-Drug Abuse Act of 1986, the Omnibus Anti-Drug Abuse Act of 1988, and the ADAMHA Reorganization Act of 1992. It supports and promotes the goals of demand reduction for the substance abuse field. It supports the Federal Government's effort to gather and communicate information about effective prevention, intervention, and treatment policies, programs, and practices as well as an important link to scientific research on substance abuse and mental health issues. It consolidates grant administration and reporting functions for CSAP.

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

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? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. 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?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): PII is limited to names and business contact info for grant awardees and data entry staff at awardees' sites for password reset and account management purposes. Name and contact info is

disclosed on a need-to-know basis to project officers and grant awardees for purpose of account management and grant administration.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The Prevention Management, Reporting, and Training system collects and maintains PII that is limited to names and business contact info for grant awardees and data entry staff at grantee sites for password reset and account management purposes. Name and contact info is disclosed on a need-to-know basis to project officers and grant awardees for purpose of account management and grant administration. Information is provided voluntarily as part of the account creation process.

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.]) Information is provided voluntarily by registered PrevTech users and is not shared with others or with the agency.

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): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Several controls are applied to protect system data. Administrative controls include a security plan, contingency plan, file back-up, least privilege, and training. Technical controls include Usernames and Passwords and a firewall. Physical controls include ID Badges, Key Cards, and Closed Circuit TV (CCTV).

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Charles Reynolds

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Carla Burch

Sign-off Date: 8/26/2010

Approved for Web Publishing: Yes

Date Published: <<Date approved for Web Publishing>>

06.3 HHS PIA Summary for Posting (Form) / SAMHSA CSAP SAMHSA Health Information Network [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

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

1. Date of this Submission: 11/12/2009

2. OPDIV Name: SAMHSA

3. Unique Project Identifier (UPI) Number: 009-30-01-03-02-1027-02

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): None

5. OMB Information Collection Approval Number: 09390-0197

6. Other Identifying Number(s): 277-04-6091

7. System Name (Align with system Item name): SAMHSA CSAP Health Information Network (SHIN)

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: Michael B. Ahmadi

10. Provide an overview of the system: SAMHSA Health Information Network (SHIN) consists of two key dissemination vehicles for substance abuse and mental health information – the National Clearinghouse for Alcohol and Drug Information (NCADI) and the National Mental Health Information Center (NMHIC).

NCADI is the Nation's one-stop resource for information about substance abuse prevention and addiction treatment. NCADI focuses on providing the following information through its materials distribution functions:

- The distribution of free or low-cost materials, including fact sheets, brochures, pamphlets, monographs, posters, and videotapes from an inventory of over 1,000 items
- A repertoire of culturally-diverse prevention, intervention, and treatment resources tailored for use by parents, teachers, youth, communities, and prevention/treatment professionals
- Rapid dissemination of Federal grant announcements for alcohol, tobacco, and drug (ATD) prevention, treatment, and research funding opportunities
- Web access to materials and the ordering of materials

NCADI receives inquiries for information and materials via telephone, voicemail, e-mail, regular mail and facsimile. Telephone lines are open 24 hours per day, and services are provided in English, Spanish, and five Asian languages. There is also a telecommunications device for the deaf (TDD) line. The Information Center receives different kinds of inquiries including: requests for publications, information about grants, information about events, and information about Federal advertisements and referrals for treatment.

External NCADI users include community leaders, substance abuse prevention professionals, employers, educators, public health professionals, media students, and the general public. These groups can view information online, obtain links to related information, and order publications

online. Internal users include call center personnel who receive calls for publication orders or provide referrals.

NMHIC was developed for consumers of mental health services and their families, the public, policy makers, treatment providers, and the media. Information Center staff members are skilled at listening and responding to questions from professionals and the public. Staff members quickly direct callers to Federal, State, and local organizations that are dedicated to treating and preventing mental illness and fulfilling requests for publications. The Information Center also has information on Federal grants, conferences, and other events. The Information Center receives various types of inquiries including requests for publications, information about grants, information about events, referrals to treatment facilities, and orientation in crisis situations.

NMHIC provides a spectrum of materials and services for the general population. It provides services, references, and specialized publications for mental health professionals and researchers and is a tool for policy makers to evaluate the impact of the changes in the legislation on mental health. In addition, NMHIC provides communities with general information on mental health, campaigns, and treatment referrals.

NMHIC staff members respond to customer inquiries in a variety of ways. Treatment referrals and other information can be provided by telephone when the customer calls or leaves voicemail messages. Published materials are sent by postal mail in the case of material requests and are expedited as necessary. Trained specialists respond by e-mail or postal mail as appropriate using designated e-mail addresses. In some cases, a written response sent via standard postal mail is needed; for example, when responding to people who are incarcerated.

External users of the NMHIC Website include users of mental health services and their families, community leaders, mental health professionals, employers, educators, health care providers, public health professionals, policy makers, media representatives, stu

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

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? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. 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?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A The system does not share or disclose IIF information.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: Information collected contains elements of PII, these elements include: Name, Address, Phone, Email. This

information is collected only for purposes of processing and shipping substance abuse and mental health resources to customers. All personal information is purely 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.]) Information is provided voluntarily by customers who contact SHIN via the phone, web, FAX, in-person and via mail.

Yes, there is a process in place to notify and or obtain consent from the public when major changes occur.

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?: Yes

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): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Any IIF information stored on the system will be physically secured and password protected.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Michael Ahmadi (SAMHSA/OC)

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Samuel S.Ackley

Sign-off Date: 11/18/2009

Approved for Web Publishing: Yes

Date Published: <<Date approved for Web Publishing>>

06.3 HHS PIA Summary for Posting (Form) / SAMHSA CSAT Services Accountability Improvement System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

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

1. Date of this Submission: 5/4/2012

2. OPDIV Name: SAMHSA

3. Unique Project Identifier (UPI) Number: None

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): None

5. OMB Information Collection Approval Number: 0930-0208

6. Other Identifying Number(s): None

7. System Name (Align with system Item name): Services Accountability Improvement System (SAIS) GPRA Outcome measures

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: Craig R. Hollingsworth, ISSO

10. Provide an overview of the system: The SAIS is a Web-based application utilized by CSAT/SAIS to monitor the performance of grants given to grantees. The information processed by the SAIS Web application is used to respond to SAMHSA's Government Performance and Results Act (GPRA) reporting requirements that tracks the effects and accomplishments of its discretionary grant programs.

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

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? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. 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

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A The system does not collect, share or disclose IIF (PII) information.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: SAIS processes information pertaining to tracking the substance abuse of patients and statistics regarding the success and failures of discretionary grant programs. The information collected by the SAIS system does not contain any confidential information and the confidentiality level is low because the information collected is not personally identifiable.

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.]) The system does not collect PII, so no processes have been established for notifying and obtain consent from individuals to collect PII.

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): No

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: There is no PII stored on the SAIS system.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Antonio Berger

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Sam Ackley

Sign-off Date: 12/10/2009

Approved for Web Publishing: Yes

Date Published: <<Date approved for Web Publishing>>

06.3 HHS PIA Summary for Posting (Form) / SAMHSA CSAT Web-Block Grant Application System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? Yes

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

1. Date of this Submission: 5/11/2011

2. OPDIV Name: SAMHSA

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): system does not constitute a System of Records

5. OMB Information Collection Approval Number: 0930-0080

6. Other Identifying Number(s): None

7. System Name (Align with system Item name): Web-based Block Grant Application System (WebBGAS)

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: Karl D. Maxwell, Ph.D., Task Order Officer

10. Provide an overview of the system: WebBGAS is an online reporting system that States use to respond to the Uniform Application for the Substance Abuse Prevention and Treatment Block Grant (OMB No. 0930-0080) and the Community Mental Health Services Block Grant Application (OMB No. 0930-0168). Covering all 50 States and territories, WebBGAS is the central portal for States to apply for Block Grant funds within SAMHSA. Additionally, the system enables State Project Officers responsible for the review and approval of applications to perform their activities online. WebBGAS also has a series of reports used to monitor program performance and administrative activities.

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? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. 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

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF 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; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: No PII is collected, stored, or disseminated from within WebBGAS.

(1) The agency collects, maintains and disseminates two main types of data in WebBGAS: (a) narrative data that summarizes States' progress in meeting performance measurement goals set by SAMHSA; and (b) tabular data that summarizes key performance indicators (e.g., number of persons served, planned expenditures, treatment needs assessment, intake-to-discharge aggregate outcomes).

(2) The information is used to assess the States' suitability and preparedness to receive and disperse Block Grant funds.

(3) No information in WebBGAS contains PII. States only provide aggregate data. There is no place in WebBGAS to collect or store any PII, since the unit of analysis for the agency's purpose is the State.

(4) Submission of personal information is neither voluntary nor mandatory. It is not collected at all.

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.]) N/A

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?:

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):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Antonio Berger

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: James R. Walters

Sign-off Date: 10/3/2011

Approved for Web Publishing: Yes

Date Published: <<Date approved for Web Publishing>>

06.3 HHS PIA Summary for Posting (Form) / SAMHSA OAS Drug and Alcohol Services Information System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

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

1. Date of this Submission: 4/13/2012

2. OPDIV Name: SAMHSA

3. Unique Project Identifier (UPI) Number:

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

5. OMB Information Collection Approval Number: 0930-6106

6. Other Identifying Number(s): OMB ID Number: 009-30-01-02-1004-00

7. System Name (Align with system Item name): Drug and Alcohol Services Information System

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: Cathie Alderks, DASIS Project Officer

10. Provide an overview of the system: DASIS has as its principle objective the operation of an integrated statistical data system that provides information at national, State, and local levels on the facilities and services available for SA treatment in the United States, and on the characteristics of clients admitted to treatment.

The Inventory of Substance Abuse Treatment Services (I-SATS) is the backbone of DASIS in that it is an electronic inventory of all organized SA treatment programs in the United States and its jurisdictions that are known to CBHSQ.

The National Survey of Substance Abuse Treatment Services (N-SSATS) is an annual census of all active SA treatment facilities listed on the I-SATS (with some exclusions, such as treatment units within correctional settings). The survey collects information on the location, organization, structure, services, and utilization of SA treatment facilities, as well as a census of clients in treatment, clients age 18 and over, and clients receiving methadone or buprenorphine.

The Treatment Episode Data Set (TEDS) is a repository of national data on clients admitted to and discharged from SA treatment facilities in the United States and U.S. jurisdictions; most TEDS facilities receive public funding through the State SSAs. States routinely collect TEDS data in monitoring their individual SA treatment systems.

The Crosswalk Management System (CWMS) records the data items, codes, and descriptions from each State's data system that correspond to the TEDS admission and discharge data items.

It maintains a historical record of changes. Current crosswalks are mounted on the DASIS Resource Site

The Contact Management System (CMS) is a repository for contact information for State DASIS representatives. Information received from significant contacts with State representatives is recorded here, maintaining a record of State issues and problems and their resolution. This information is extracted monthly and posted to the DASIS Documentation site.

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

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? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. 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

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF 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; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The broad mandate for SAMHSA's support of DASIS is Section 505 of the Public Health Service Act (42.U.S.C. 290aa-4), which requires the Secretary of the Department of Health and Human Services (HHS), acting through SAMHSA's Administrator, to collect data on substance abuse (SA) treatment services. Thus DASIS has as its principle objective the operation of an integrated statistical data system that provides information at national, State, and local levels on the facilities and services available for SA treatment in the United States, and on the characteristics of clients admitted to treatment. The DASIS system does not include any PII information.

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.]) N/A

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?:

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):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: States Health Departments transmit TEDS data electronically using encrypted FTP, encrypted e-mail or encrypted electronic media. Electronic media are handled by only two persons who have signed detailed DATA Security Agreements and who work in a room with a lockable door and a medial safe. DASIS operations procedures prescribe security precautions for the handling of sensitive from receipt through final disposition.

DASIS computers operate in a secure physical, technological, and operational environment. The cyber locked computer room is itself within a locked office suite. Internal network employ private non-routable IP addresses to shield production servers and databases from external risks. DASIS internet connected applications operate behind firewalls configured to only allow HTTP access via port 80. Secure socket layer (SSL) authentication is employed to encrypt all web transmitted data. Systems are monitored by both intrusion detection software and technical staff review of systems logs.

A DASIS Integrated Security Plan is audited annually for compliance with OMB, NIST, HHS, SAMHSA, regulations, policies and best practices.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Antonio Berger

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: James R Walters

Sign-off Date: 10/3/2011

Approved for Web Publishing: Yes

Date Published: <<Date approved for Web Publishing>>

06.3 HHS PIA Summary for Posting (Form) / SAMHSA OAS National Registry of Evidence-based Programs and Practices and websites [System]
PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? Yes

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

1. Date of this Submission: 8/29/2011

2. OPDIV Name: SAMHSA

3. Unique Project Identifier (UPI) Number:

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

5. OMB Information Collection Approval Number: N/A

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

7. System Name (Align with system Item name): National Registry of Evidence-based Programs and Practices (NREPP)

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: Gary Hill, Manila NREPP Project Director

10. Provide an overview of the system: This system is designed to address SAMHSA's need to disseminate information to the public about various interventions that promote mental health or prevent or treat mental illness, substance use disorders, or co-occurring disorders. With the development of many prevention and treatment interventions, this system enables users to quickly search, sort, and narrow choices to the interventions most appropriate to their communities.

SSNs are not collected.

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

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? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. 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

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF 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; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: (1) Only data about mental health and substance abuse related interventions and their evaluations are collected, maintained, and disseminated. The data collected specific to a person is publicly available contact information including name, work address, and phone number to enable people interested in learning more about the intervention to have a contact person. The data is generic in nature and thus free of PII data.

(2) The information collected is used to disseminate evidence-based mental health and substance abuse related interventions.

(3) No PII or federal contact related data is collected, maintained, or disseminated.

(4) The publicly available contact information is submitted voluntarily and is not required.

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.]) N/A

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?:

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):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Antonio Berger

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: James R. Walters

Sign-off Date: 10/3/2011

Approved for Web Publishing: Yes

Date Published: <<Date approved for Web Publishing>>

06.3 HHS PIA Summary for Posting (Form) / SAMHSA OAS National Survey on Drug Use and Health [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

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

1. Date of this Submission: 8/10/2010

2. OPDIV Name: SAMHSA

3. Unique Project Identifier (UPI) Number: 009-30-01-03-01-1003-02

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): No

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): No

7. System Name (Align with system Item name): National Survey on Drug Use and Health (NSDUH)

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: Martin Meyer (RTI), Michael Jones (SAMHSA/OAS), Art Hughes (SAMHSA/OAS)

10. Provide an overview of the system: To provide information on the incidence and prevalence of substance use and mental health as required by Section 505 of the Public Health Service Act (42 USC 290aa4). The NSDUH has been conducted on a periodic basis from 1971-1988, and annually since 1990. Section 505 of the Public Health Service Act also requires that these data must be collected annually.

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

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? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. 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?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): PII collected as part of the NSDUH is generally not shared beyond authorized personnel responsible for data collection and analysis, though by law it is permitted as specified in the Confidential Information Protection and Statistical Efficiency Act of 2002, "CIPSEA," included as Title V in the E-Government Act of 2002 (PL 107-347). CIPSEA provides a uniform set of

confidentiality protections to all individually identifiable data (including PII) collected for statistical purposes under a pledge of confidentiality. As a statistical unit defined by the Office of Management and Budget, the Office of Applied Studies (OAS) within SAMHSA may designate agents with whom PII may be shared, so long as the agent uses the data for statistical purposes and agrees with other provisions established by OAS.

In 2009, OAS shared PII (only date of birth with no other PII) with a team of two researchers at the University of Michigan as part of an NIH grant (grant number P01HD045753) in order to evaluate methods to safeguard NSDUH data. Specifically, the data was provided for the following reasons:

1. To assess the risk of disclosure based on the existing set of variables in the NSDUH public use data set. Develop probabilistic measures of disclosure risk as a function of key variables that a potential intruder can use to identify the respondent.
2. Augment the existing public-use data by additional variables of high analytic value and assess the risk of disclosure. Compare this risk with the baseline risk obtained in #1.

In early 2010, this project was completed and access to the PII data provided to the University of Michigan team was terminated.

Other than such legally authorized access, PII is not shared. Aggregate statistics, tables and reports that do not include any PII are widely distributed to interested parties and stakeholders. This includes the National Institute on Drug Abuse (NIDA), the Centers for Disease Control and Prevention (CDC), the Office of National Drug Control Policy (ONDCP), the White House, Congress, and other Federal components interested in the prevalence of substance use including NSDUH results and reports also shared with various state and local government agencies, researchers, and the general public. Published reports are available on the web at <http://www.OAS.SAMHSA.gov>. NSDUH public-use files, which contain no PII, are available to anyone (see <http://www.icpsr.umich.edu/SAMHDA/>).

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The NSDUH provides current data on substance use prevalence for the U.S. population aged 12 or older as well as each state. The survey sample supports annual direct estimates of prevalence for: the nation, the eight (8) largest states, and model-based estimates for the remaining 42 States and the District of Columbia. These data are used by SAMHSA, the National Institute on Drug Abuse (NIDA), the Centers for Disease Control and Prevention (CDC), the Office of National Drug Control Policy (ONDCP), and other Federal agencies interested in the prevalence of substance use, in order to: (1) design prevention programs, (2) respond to inquiries on the extent of substance use, (3) estimate treatment need, (4) study the socioeconomic impact of substance abuse, (5) identify correlates of substance use, and (6) evaluate the overall impact that Federal and State programs have on drug demand. NSDUH data provide a useful indicator of individual States overall

success at reducing youth substance abuse. In conjunction with other data sources, the survey data provide a means for assessing and improving outcomes of prevention and treatment services. The survey will help SAMHSA identify areas where serious substance abuse problems exist and provide assistance to States to help them develop and adopt targeted responses for those problems. In addition, many special requests for survey information emanate from the White House, Congress, and various state and local government agencies. The survey questionnaire asks for the minimum information necessary to meet the needs of Federal policy makers and the substance abuse research, prevention, and treatment communities. Section 505 of the Public Health Service Act (42 U.S.C. 290aa-4) requires SAMHSA to collect this information. The NSDUH is the nation's only source of reliable national substance use data for the general population; its continuation will ensure that SAMHSA will comply with statutory requirements and Federal, State, and local agencies will have timely data available for release on an annual basis. The ability to respond effectively and efficiently to the continually changing dynamics of the drug culture is critical to sound prevention and treatment strategies.

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.]) The NSDUH is a survey of the civilian non-institutionalized population of the United States aged 12 or older. Households are sampled using a stratified, multi-stage area probability design. Data collection is facilitated through the use of personal, in-home interviews using computer-assisted interviewing (CAI) technology. The household screening and respondent selection procedures is administered using a hand-held computer. The interview is administered using a laptop computer. Each interview consists of both interviewer-administered and self-administered questions (the latter method is used to increase confidentiality of information). The interview incorporates several procedures to ensure that respondents' rights will be protected. The interviewer introduces himself/herself and the session with a consent statement. This statement will be read out loud to each interview respondent. As part of the process for obtaining informed consent, respondents are given a document, which includes information on Section 501(n) of the Public Health Service Act and the protection that it affords. Specifically, Section 501(n) states that respondents answers will only be used for research and analysis and cannot be used for any other purpose (see Children's Health Act of 2000, PL 106-310, page 70 of 146, paragraph titled: (n) Limitation on the Use of Certain Information). Beginning with the 2004 survey, the Confidential Information Protection and Statistical Efficiency Act of 2002, "CIPSEA," included as Title V in the E-Government Act of 2002 (PL 107-347), provides a uniform set of confidentiality protections to all individually identifiable data collected for statistical purposes under a pledge of confidentiality. Under CIPSEA, only authorized personnel can have access to confidential data, including PII and penalties are imposed for willfully disclosing information to a person or agency not entitled to receive it. Under CIPSEA, unlawful disclosure could be considered a class E felony with up to 5 years imprisonment or fines up to \$250,000 or both.

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?: Yes

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): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The general model for securing collected data involves three increasingly restrictive layers of data security. The first layer of security is that provided by the Contractor and the gateways required to access their Public Network. The next layer is the significantly more restrictive procedures required to enter the Contractor's Private Network. Next is the restrictions placed on data files to limit access to those who are working on the project and who have signed confidentiality agreements. The data are collected via computer Contractor field staff. As the data are collected they will be transmitted back to the Contractor electronically to their Public network. Access to the Public Network is restricted by the use of assigned usernames and passwords. These data are restricted to those Contractor staff approved to work on the project and who have signed NSDUH confidentiality agreements. A complete backup of all files on every disk is written to tape weekly. Every business day, an incremental backup is performed of all files created or modified since the last complete backup. In the event of a hardware or software failure, files can be restored to their status as of the time of the last incremental backup, usually the evening of the previous business day.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Michael Jones (SAMHSA/OAS)

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: James Walters

Sign-off Date: 8/16/2010

Approved for Web Publishing: Yes

Date Published: <<Date approved for Web Publishing>>

06.3 HHS PIA Summary for Posting (Form) / SAMHSA OPS Physical Access Control System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

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

1. Date of this Submission: 6/1/2011

2. OPDIV Name: SAMHSA

3. Unique Project Identifier (UPI) Number: None

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-90-0777

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): No

7. System Name (Align with system Item name): SAMHSA Physical Access Control System

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: Kathleen Milenkowic

10. Provide an overview of the system: The SAMHSA PACS uses management software for access control and security operations. Its primary function is to provide physical access control predominately for SAMHSA staff and personnel accessing its facilities.

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

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? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. 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?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
The system is a stand a lone system and does not share disclose information with external agencies or people outside the agency.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The SAMHSA PACS system collects the following information: employee name, employment status, social security

number, building location, room number and phone number. The SAMHSA PACS system uses this information for badge creation. The information is stored in event of badge losage or duplication request. The PII information contained is used to perform an employee background investigation which is the determining factor for badge issuance. Submission of personal information is mandatory for creating access permissions.

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.]) Consent is obtained from employees at time of Badge request. When employee returns badge request he/she are notified via formal notice of the PII being collected, the reason for the PII information and how the information will be used or shared.

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): No

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): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: SAMHSA PACS system ensures the privacy of employees PII through the use of passwords, secured storage room, and system lock-out with incorrect entry attempts.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Charles Wilson

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: James Walters

Sign-off Date: 9/23/2011

Approved for Web Publishing: Yes

Date Published: <<Date approved for Web Publishing>>

06.3 HHS PIA Summary for Posting (Form) / SAMHSA OPS SAMHSA OPS Web sites [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

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

1. Date of this Submission: 10/26/2010

2. OPDIV Name: SAMHSA

3. Unique Project Identifier (UPI) Number: SAMHSA Agency Website System Owner - Division of Management and Technology

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): No

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): No

7. System Name (Align with system Item name): SAMHSA Website

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: Dawn Colbert

10. Provide an overview of the system: SAMHSA Agency website is used by internal and external user groups and provides a delivery system for information about SAMHSA programs to the public.

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

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? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. 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

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF 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; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: N/A

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.]) N/A

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?: Yes

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): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The Agency Website does not collect PII. In the event the Agency Website does collect PII, the PII will be secured through the use of password protection, user identification codes, physical guards and access identification badges and the IT Security Policy.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Dawn Colbert

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Samuel S. Ackley

Sign-off Date: 11/5/2009

Approved for Web Publishing: Yes

Date Published: <<Date approved for Web Publishing>>
