

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: Agency Website

<u>Question:</u>	<u>Response:</u>
1 Date of this Submission (MM/DD/YYYY):	2003-12-02
2 HHS Agency (OPDIV):	SAMHSA
3 Title of System or Information Collection:	SAMHSA Website
4 Is this System or Information Collection new or is an existing one being modified?	
5 Unique Project Identifier Number:	N/A
6 System of Records Number:	N/A
7 OMB Information Collection Approval Number and Expiration Date :	N/A
8 Other Identifying Number(s):	N/A
9 Provide an overview of the system or collection and indicate the legislation authorizing this activity.	SAMHSA website provides information through the world wide web on SAMHSA's programs and funding to the public.
10 Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.	No PII information is collected.
11 Explain why the information is being collected.	N/A
12 Identify with whom the agency will share the collected information .	N/A

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: Agency Website

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| 13 | Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared. | N/A |
| 14 | State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998) | N/A |
| 15 | Describe how the information will be secured. | N/A |
| 16 | Describe plans for retention and destruction of data collected. | N/A |
| 17 | Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained. | N/A |
| 18 | The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date): | |
| 19 | The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date): | |
| 20 | The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date): | |



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: CSAP DSS

Question:

Response:

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| 1 | Date of this Submission (MM/DD/YYYY): | 2003-12-03 |
| 2 | HHS Agency (OPDIV): | SAMHSA |
| 3 | Title of System or Information Collection: | CSAP/SAMHSA's Prevention Technology Platform (PrevTech) |
| 4 | Is this System or Information Collection new or is an existing one being modified? | Existing system |
| 5 | Unique Project Identifier Number: | 009-30-01-29-01-1006-00-110-028 |
| 6 | System of Records Number: | N/A |
| 7 | OMB Information Collection Approval Number and Expiration Date : | : 09390-0197, exp. 12/31/04 |
| 8 | Other Identifying Number(s): | N/A |
| 9 | Provide an overview of the system or collection and indicate the legislation authorizing this activity. | PrevTech 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, supports and promotes the goals of demand reduction for the substance abuse field. PrevTech 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 |
| 10 | Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort. | PrevTech does not collect any information which is used by SAMHSA or CSAP. PrevTech users input data related to their prevention projects but these are subject to a strict privacy policy and are only accessible to the persons who created them. |



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: CSAP DSS

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| 11 Explain why the information is being collected. | Registered PrevTech users support their evidence-based prevention programs and collect information related to those projects using PrevTech's interactive tools. Their data is maintained in password-protected accounts and is not shared with the agency or others. |
| 12 Identify with whom the agency will share the collected information | N/A |
| 13 Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared. | Information is provided voluntarily by registered PrevTech users and is not shared with others or with the agency. |
| 14 State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998) | N/A |
| 15 Describe how the information will be secured. | Physically secured and password protected |
| 16 Describe plans for retention and destruction of data collected. | Data which PrevTech users voluntarily enter on the system in support of their prevention projects is maintained in a database server with regular system backups. It is maintained indefinitely, although users can elect to delete their accounts at any time. In this case, user data associated with those accounts is deleted by the system |
| 17 Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained. | N/A |
| 18 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date): | |
| 19 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date): | |



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: CSAP DSS

- 20 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: DAWN

<u>Question:</u>	<u>Response:</u>
1 Date of this Submission (MM/DD/YYYY):	2003-12-02
2 HHS Agency (OPDIV):	SAMHSA
3 Title of System or Information Collection:	Drug Abuse Warning Network
4 Is this System or Information Collection new or is an existing one being modified?	Existing
5 Unique Project Identifier Number:	009-30-01-03-02-1005-00
6 System of Records Number:	09-30-0049
7 OMB Information Collection Approval Number and Expiration Date :	0930-0078, 12/2005
8 Other Identifying Number(s):	N/A
9 Provide an overview of the system or collection and indicate the legislation authorizing this activity.	The Drug Abuse Warning Network is a public health surveillance system that monitors drug-related emergency department visits and drug-related deaths investigated by medical examiners and coroners. Section 505 of the Public Health Service Act (42 U.S.C. 290aa-4) authorizes SAMHSA to collect such data

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: DAWN

10 Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.

Data items on each ED visit meeting the DAWN case criteria are: date and time of visit, patient demographics (age, race/ethnicity, sex), zip code, a narrative case description, chief complaints, type of case, diagnoses, disposition, and up to 7 drugs, their route of administration, and whether their presence was confirmed by toxicology. Data items on each death meeting the DAWN case criteria are: date of death, patient demographics (age, race/ethnicity, sex), zip code, place of death, factors supporting case determination, manner of death, drug involvement in death, causes of death, and up to 7 drugs, their route of administration, and whether their presence was confirmed by toxicology. DAWN provides information in support of SAMHSA's drug abuse surveillance and prevention objectives. DAWN collects very specific drug information at a level of detail unmatched by any other source. As a result, DAWN can be used as an indicator warning of emerging trends in new drugs of abuse and new drug combinations and their potential threat to public health. Recent changes in the way DAWN collects and classifies drugs illicit drugs, prescription and over-the-counter medications, dietary supplements, and inhalants have improved DAWN's ability to detect emerging trends, especially those involving prescription drugs. Another important feature of DAWN is its ability to provide a measure of the trends and impact of identified drug abuse on the emergency departments of the Nation's hospitals. Under the new design, DAWN also will provide important information about the health consequences of drug abuse and misuse. The data items collected by DAWN were recently evaluated as part of a larger re-design effort. Data items were added, deleted, and revised based on availability of information in emergency department medical records, feasibility, user acceptance, consultation with users, and study of other, comparable data collection systems. The amount of information is explicitly restricted so as not to collect direct identifiers of individuals.

11 Explain why the information is being collected.

Section 505 of the Public Health Service Act (42 U.S.C. 290aa-4) requires SAMHSA to collect such data



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: DAWN

- 12 Identify with whom the agency will share the collected information .
- Users include hospital and medical examiner participants in DAWN, the Office of National Drug Control Policy (ONDCP), and other Federal agencies such as the Drug Enforcement Administration (DEA) and the Food and Drug Administration (FDA). DAWN data are used at the State and local level and by the medical community to direct the allocation of resources, to promote the planning and design of State drug abuse treatment and prevention activities, and to provide guidance to prevention efforts. Members of the Community Epidemiology Work Group (CEWG) are intensive and regular user of metropolitan-area findings from DAWN data. The CEWG is a network of epidemiologists and researchers supported by NIDA to provide community-level surveillance of drug abuse for 21 separate areas.
- 13 Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.
- No patient is ever interviewed. Within each facility (ED or ME office) that participates in DAWN, a designated DAWN Reporter is responsible for reviewing medical/decedent records retrospectively to identify cases meeting the DAWN reporting criteria and for those patients/decedents, abstracting data elements from the source records. By law, information collected by DAWN may be used only for the purposes for which it was collected. No information identifying an institution or individual may be released in identifiable form without consent. These restrictions are in Section 501(n) of the Public Health Service Act and Title V of the E-Government Act of 2002.
- 14 State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)
- No patients are interviewed.
- 15 Describe how the information will be secured.
- Most data are collected using a secure, web-based data entry system. Data entered using a laptop computer not connected to a network are encrypted for storage and subsequent transmission. Technical, physical, and administration controls restrict unauthorized access of the central servers. Staff receive specific training on confidentiality and data security.
- 16 Describe plans for retention and destruction of data collected.
- Paper forms are destroyed within 2 years of the close of the data period. Electronic data are backed up and stored in a secure location
- 17 Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: DAWN

- 18 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):
- 19 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):
- 20 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: NCADI

<u>Question:</u>	<u>Response:</u>
1 Date of this Submission (MM/DD/YYYY):	2003-12-03
2 HHS Agency (OPDIV):	SAMHSA
3 Title of System or Information Collection:	SAMHSA's National Clearinghouse for Alcohol and Drug Information (NCADI)
4 Is this System or Information Collection new or is an existing one being modified?	Existing system
5 Unique Project Identifier Number:	009-30-01-03-02-1027-02
6 System of Records Number:	N/A
7 OMB Information Collection Approval Number and Expiration Date :	09390-0197, exp. 12/31/04
8 Other Identifying Number(s):	N/A
9 Provide an overview of the system or collection and indicate the legislation authorizing this activity.	<p>The National Clearinghouse for Alcohol and Drug Information (NCADI) 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, supports and promotes the goals of demand reduction for the substance abuse field. NCADI is the hub of 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. As such, NCADI provides a single point of entry to comprehensive, customer-oriented information services for SAMHSA's current constituents as well as new audiences.</p>

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: NCADI

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| 10 Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort. | Only data essential processing orders for substance abuse resources are collected |
| 11 Explain why the information is being collected. | To process customer orders |
| 12 Identify with whom the agency will share the collected information | N/A |
| 13 Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared. | Information is provided voluntarily by customers who contact the NCADI contract via the phone, web, FAX, in-person and via mail. |
| 14 State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998) | Reference: Children's Online Privacy Protection Act of 1998) |
| 15 Describe how the information will be secured. | Physically secured and password protected |
| 16 Describe plans for retention and destruction of data collected. | The data is kept in two formats. 1. A printed copy of the shipping invoice is kept at the warehouse. This copy is destroyed approximately one month after the item is shipped. 2. An electronic copy is held in a database. After 60 days the identifying information is still contained in the database, but is not viewable to the administrators of the system (e.g., information specialists, evaluation staff, etc.). After three months, when we are sure that all parties involved have received the shipped materials, we then delete all personally identifying information from the database. Demographic information remains in the database for the purposes of evaluation. |



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: NCADI

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| 17 | Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained. | N/A |
| 18 | The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date): | |
| 19 | The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date): | |
| 20 | The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date): | |



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: NMHIC

<u>Question:</u>	<u>Response:</u>
1 Date of this Submission (MM/DD/YYYY):	2003-12-02
2 HHS Agency (OPDIV):	SAMHSA
3 Title of System or Information Collection:	SAMHSA's National Mental Health Information Center
4 Is this System or Information Collection new or is an existing one being modified?	Existing System
5 Unique Project Identifier Number:	009-30-01-03-02-1058-02
6 System of Records Number:	N/A
7 OMB Information Collection Approval Number and Expiration Date :	09390-0197 Expiration Date: 12-31-2004
8 Other Identifying Number(s):	N/A
9 Provide an overview of the system or collection and indicate the legislation authorizing this activity.	Under section 520(b)(10), of the Public Health Service Act, CMHS is mandated to establish a mental health information Clearinghouse. "The Director of the Center shall establish a Clearinghouse for mental health information to assure the widespread dissemination of such information to States, political subdivisions, educational agencies and institutions, treatment and prevention service providers, and the general public, including information concerning the practical application of research supported by the National Institute of Mental Health (NIMH) that is applicable to improving the delivery of services."
10 Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.	Process Orders

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: NMHIC

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| 11 | Explain why the information is being collected. | Order Fulfillment |
| 12 | Identify with whom the agency will share the collected information . | N/A |
| 13 | Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared. | . Voluntarily - Phone, Web, FAX, Personal, Postal Mail. |
| 14 | State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998) | (Reference: Children's Online Privacy Protection Act of 1998) N/A |
| 15 | Describe how the information will be secured. | Physical, Password Protected |
| 16 | Describe plans for retention and destruction of data collected. | The data is kept in two formats 1. A printed copy of the shipping invoice at the warehouse. This copy is destroyed approximately one month after the item is shipped. 2. An electronic copy in the database. After 60 days the identifying information is still contained in the database, but is not viewable to the administrators of the system (information specialists, evaluation staff, etc.) After 3 Months, when we are sure that all parties involved have received the shipped materials, we then delete all personally identifying information from the database. Demographic information remains in the database for the purposes of evaluation. |
| 17 | Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained. | N/A |
| 18 | The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date): | |

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: NMHIC

- 19 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):
- 20 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: NSDUH

<u>Question:</u>	<u>Response:</u>
1 Date of this Submission (MM/DD/YYYY):	2003-12-04
2 HHS Agency (OPDIV):	SAMHSA
3 Title of System or Information Collection:	National Survey on Drug Use and Health (NSDUH)
4 Is this System or Information Collection new or is an existing one being modified?	Existing
5 Unique Project Identifier Number:	009-30-01-03-01-1003-02
6 System of Records Number:	09-30-0049
7 OMB Information Collection Approval Number and Expiration Date :	0930-0110
8 Other Identifying Number(s):	
9 Provide an overview of the system or collection and indicate the legislation authorizing this activity.	The National Survey on Drug Use and Health (NSDUH) provides information on the incidence and prevalence of substance use 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.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: NSDUH

10 Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.

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 will 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.

11 Explain why the information is being collected.

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; it s 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.

12 Identify with whom the agency will share the collected information

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 components interested in the prevalence of substance use including the White House, Congress. This information is also shared with various state and local government agencies, researchers, and the general public. Published reports are available on the web at <http://www.DrugAbuseStatistics.SAMHSA.gov>



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: NSDUH

13 Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.

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 will be administered using a hand-held computer. The interview will be 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), will provide a uniform set of confidentiality protections to all individually identifiable data collected for statistical purposes under a pledge of confidentiality. Under CIPSEA, penalties are imposed for willfully disclosing information to a person or agency not entitled to receive it; unlawful disclosure could be considered a class E felony with up to 5 years imprisonment or fines not to exceed \$250,000.

14 State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)

No information is collected from anyone of any age on the Internet.



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OPDIV: SAMHSA System Name: NSDUH

15 Describe how the information will be secured.

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. Files and data sets within the public network are protected by the Microsoft NTFS security system that is part of the NT operating system. Data are then moved from the Public Network to the Private Network on a routine and regular basis, typically daily. This procedure serves as a second layer of security by moving the data from a secured, but public, environment to one that is restricted to Contractor staff. The Private Network is secured behind an Internet firewall and by another level of username and password security. Usernames and passwords on the Private Network are subject to enforced security checks, password length and currency requirements, and Contractor corporate policies requiring adherence to security procedures. Usernames and passwords within the Private Network are assigned to Contractor staff and a limited set of other users after a formal review and approval. All data are stored only on file servers running and implementing full Microsoft NT or UNIX security. Data are not stored on any server that does not support user level access control. These data are restricted to those Contractor staff approved to work on the project and who have signed NSDUH confidentiality agreements. The items below summarize the procedures in place:

- Username/Password required to access the Public Network
- Data Stored on the Public Network only as it comes in from the field, it is then moved inside of Contractor's firewall
- Further restriction of users allowed on Private Network
- Additional Username/password required for Private Network
- Data access restricted to NSDUH staff after signing confidentiality agreement
- Annual review of data access lists

Some of the server built-in security features include:

- local desktop security: user identification and password required for access
- lockout of account upon repeated entry of an invalid password
- C2-level certifiable security
- NT File System (NTFS) per-file and per-directory security, where NTFS has many levels of access control, including no access, read only, change, and full control.
- Administrator-defined user groups

Every username (i.e., account) on all systems has an associated password. No written or electronic record of passwords is generated. Automated controls are in place to ensure password quality



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OPDIV: SAMHSA System Name: NSDUH

and periodic expiration of passwords. 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. The tapes from the current complete backup are stored in the computer room for easy access. The tapes from the previous backup set are stored at an off-site, fireproof location. This procedure ensures data availability in the event of a catastrophic event in the computer room. The contractor has installed a keyless card-controlled access system on all buildings; the system monitors and limits access to the building and the computer room. There are three access-controlled entries leading to the computer room, all of which are kept locked 24 x 7. Additionally, security officers inspect the computer room for signs of unauthorized entry or access. Internal building checks are verified independently using a system that collects data from bar codes that are scanned using micro-wands. The computer room is constructed of masonry and has an automatically locking steel door. Visitors are permitted in the computer room only when escorted by IT staff, with access to the computer room.

Paper forms (used only during sampling frame construction) are destroyed within 2 years of the close of the data period. Electronic data are backed up and stored in a secure location.

System of Records Notice 09-30-0049 covers consultant records maintained by SAMHSA contractors. No system of records notice is applicable for data collected by NSDUH.

- 16 Describe plans for retention and destruction of data collected.
- 17 Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.
- 18 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):
- 19 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):
- 20 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: PrevTech

Question:

Response:

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| 1 | Date of this Submission (MM/DD/YYYY): | 2003-12-03 |
| 2 | HHS Agency (OPDIV): | SAMHSA |
| 3 | Title of System or Information Collection: | CSAP/SAMHSA's Prevention Technology Platform (PrevTech) |
| 4 | Is this System or Information Collection new or is an existing one being modified? | Existing system. |
| 5 | Unique Project Identifier Number: | 009-30-01-29-01-1006-00-110-028 |
| 6 | System of Records Number: | N/A |
| 7 | OMB Information Collection Approval Number and Expiration Date : | 09390-0197, exp. 12/31/04 |
| 8 | Other Identifying Number(s): | N/A |
| 9 | Provide an overview of the system or collection and indicate the legislation authorizing this activity. | PrevTech 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, supports and promotes the goals of demand reduction for the substance abuse field. PrevTech 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 |
| 10 | Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort. | PrevTech does not collect any information which is used by SAMHSA or CSAP. PrevTech users input data related to their prevention projects but these are subject to a strict privacy policy and are only accessible to the persons who created them. |



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: PrevTech

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| 11 Explain why the information is being collected. | Registered PrevTech users support their evidence-based prevention programs and collect information related to those projects using PrevTech's interactive tools. Their data is maintained in password-protected accounts and is not shared with the agency or others. |
| 12 Identify with whom the agency will share the collected information . | N/A |
| 13 Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared. | Information is provided voluntarily by registered PrevTech users and is not shared with others or with the agency. |
| 14 State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998) | Reference: Children's Online Privacy Protection Act of 1998) |
| 15 Describe how the information will be secured. | Physically secured and password protected |
| 16 Describe plans for retention and destruction of data collected. | Data which PrevTech users voluntarily enter on the system in support of their prevention projects is maintained in a database server with regular system backups. It is maintained indefinitely, although users can elect to delete their accounts at any time. In this case, user data associated with those accounts is deleted by the system . |
| 17 Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained. | N/A |
| 18 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date): | |
| 19 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date): | |



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: PrevTech

- 20 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: SGIMS

Question:

Response:

- | | | |
|----|---|---|
| 1 | Date of this Submission (MM/DD/YYYY): | 2003-12-02 |
| 2 | HHS Agency (OPDIV): | SAMHSA |
| 3 | Title of System or Information Collection: | SAMHSA Grants Information Management System (SGIMS) |
| 4 | Is this System or Information Collection new or is an existing one being modified? | Existing |
| 5 | Unique Project Identifier Number: | 009-30-04-00-02-1010-00-404-142 |
| 6 | System of Records Number: | N/A |
| 7 | OMB Information Collection Approval Number and Expiration Date : | N/A |
| 8 | Other Identifying Number(s): | N/A |
| 9 | Provide an overview of the system or collection and indicate the legislation authorizing this activity. | SGIMS is used to track grant applications and review outcomes, make funding decisions, issue grant award notices and perform post-award tracking activities. |
| 10 | Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort. | Collected information includes the data provided by the applicant on the SF424 grant application form that is necessary for making funding decisions and grant awards. Other award related data is collected for internal post-award tracking purposes. |
| 11 | Explain why the information is being collected. | |
| 12 | Identify with whom the agency will share the collected information | . |

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: SGIMS

- 13 Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.
- 14 State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)
- 15 Describe how the information will be secured.
- 16 Describe plans for retention and destruction of data collected.
- 17 Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.
- 18 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):
- 19 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):
- 20 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: WITS

<u>Question:</u>	<u>Response:</u>
1 Date of this Submission (MM/DD/YYYY):	2003-12-03
2 HHS Agency (OPDIV):	SAMHSA
3 Title of System or Information Collection:	Web Infrastructure for Treatment Services (WITS)
4 Is this System or Information Collection new or is an existing one being modified?	New
5 Unique Project Identifier Number:	009-30-01-03-01-1099-00
6 System of Records Number:	NA
7 OMB Information Collection Approval Number and Expiration Date :	NA
8 Other Identifying Number(s):	Account ID Code 75-1362
9 Provide an overview of the system or collection and indicate the legislation authorizing this activity.	<p>WITS is a Web-based On-Line-Transactions Processing (OLTP) system developed in collaboration with State AOD Treatment Agencies, to be re-used by these and other State agencies. SAMHSA provides technical assistance (i.e. Web Services system design expertise and programming) to upgrade software that States currently own and operate. Even though SAMHSA will not operate WITS, it may be used by States to improve and quality and scope of treatment performance data, as required by the proposed new Federal Substance Abuse and Prevention Block Grant to States, which will soon be called the Performance Partnership Grant. Legislation authorizing this activity is the Public Health Service Act, Section 1984, subsection (a).</p>

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: WITS

- 10 Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**
- WITS is a centrally hosted, real time, clinical management information system. Clinicians will enter all client-level data that are needed to manage the treatment process. Treatment provider managers and State AOD agency managers will use only a subset of the data that they need to perform their management functions. Please note that SAMHSA cannot access any State WITS system without permission from the State.
- 11 Explain why the information is being collected.**
- As suggested above (#2), treatment services data will be entered into WITS by clinicians in order to document client needs, progress, services delivered, as well as in order to bill for services. Once entered, clinical data are used for many secondary purposes without any additional handling.
- 12 Identify with whom the agency will share the collected information**
- SAMHSA will not actually collect data. States will use WITS to collect data, and they will report to SAMHSA as required in order to receive Federal Block Grant funds.
- 13 Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**
- State WITS systems will be used by clinicians to collect client-level treatment needs and services data from publicly funded clients. The information is more or less the same that is currently documented on paper, and during treatment process subjects (clients) will be informed about data to be collected just as they usually are informed. Regarding sharing of sensitive information, WITS has been designed to implement 42 CFR Part 2 confidentiality and HIPAA privacy and security regulations. Internal and external technical reviews indicate that WITS is at least as compliant with these Federal regulations as current paper-based systems.
- 14 State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**
- No data are collected from children under age 13.
- 15 Describe how the information will be secured.**
- WITS is an N-Tier, modular Web system built on the Microsoft .Net software platform. Users can access the system only through a 2-factor [first a username and password, and then a separate PIN number] verification process that meets HIPAA security requirements. Also, users can access client level data is restricted by role-based and system administrator-based permissions. Finally, the N-tier architecture affords a high degree of protection against malicious hacking because the backend data base can be accessed only from the middle tier business layer, and then only if a would-be hacker can fake user-level permissions. The system should identify potential hacker activity long before the hacker can figure out permission process.



HHS Privacy Impact Assessment (PIA) Summary

OPDIV: SAMHSA System Name: WITS

- 16 Describe plans for retention and destruction of data collected. Data retention and destruction policies are State issues. SAMHSA can access WITS-generated data only by permission from States. At that point, data retention and destruction issues fall outside the scope of this project.
- 17 Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained. NA
- 18 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):
- 19 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):
- 20 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):

