PTA / PIA: FDA - FindIT - QTR2 - 2026 - FDA5270453

Created Date: 5/15/2026 2:22 PM Last Updated: 6/4/2026 6:00 PM

General Information

PTA / PIA Name:	FDA - FindIT - QTR2 - 2026 - FDA5270453	**PTA / PIA ID:**	4487855
Component Name:	FDA - OC FindIT System	**ATO Boundary Name:**	OC FindIT System
Overall Status:	Complete	**# of Days - Open:**	21
Submitter:		**Submit Date:**	5/21/2026
Next Assessment Date:	06/03/2029	**Expiration Date:**	6/3/2029
Office:		**OpDiv:**	FDA
Security Categorization:	Low		
Make PIA available to Public?:	Yes	**PIA Required:**	Yes

General 01:	Identify the Enterprise Performance Lifecycle Phase of the system.	Operations and Maintenance
General 02:	Is this a FISMA-Reportable system?	Yes
General 03:	Does the system have or is it covered by a Security Authorization to Operate (ATO)?	No
General 04:	ATO Date or Planned ATO Date.	6/21/2026
General 05:	Is the system or electronic information collection, agency or contractor operated?	Contractor
History Log:	View History Log	

Privacy Threshold Analysis

Privacy Threshold Analysis

PTA 01:	Point of Contact (POC) Name	Christine Baker
PTA 01A:	POC Title and Organization	Acting Library Director ODT/ODAR/KMS
PTA 01B:	POC Email Address	christine.baker@fda.hhs.gov
PTA 01C:	POC Phone Number	301-796-3182
PTA 02:	Indicate the following reason(s) for this PTA. Choose from the following options.	PIA Validation (PIA Refresh)

PTA 02A:	Describe in further detail any changes to the system that have occurred since the last PIA.	FDA has made no changes to this system since the last Privacy Threshold Analysis (PTA)/Privacy Impact Assessment (PIA) was approved.
PTA 03:	Is the data contained in the system owned by the agency or contractor?	Agency
PTA 04:	Please give a brief overview of the purpose of the system by describing what the functions of the system are and how the system carries out those functions in support of HHS.	The Food and Drug Administration's (FDA) Office of the Commissioner (OC) FindIT system is a library catalog and search tool that allows a user (FDA Employee or Direct Contractor) to easily search the FDA library collection of printed books, electronic books, and journals, as well as perform article-level searching across hundreds of public bibliographic databases. The bibliographic database is managed by the ExLibris Cloud Service Provider (CSP) and allows access for both FDA and public users. The database is administered only by authorized FDA Administrators (FDA employees and Direct Contractors) and ExLibris CSP Administrators. ExLibris is a CSP used to develop integrated library systems. FindIT is the brand name for the two systems used from ExLibris. FindIT is composed of two subcomponents: (a) Alma; and (b) Primo ViewElement (Primo VE). Alma is connected to the FDA network via Single Sign-On (SSO). Library Staff (FDA Employees and Direct Contractors) create records in Alma to represent print and electronic holdings made available to FDA. All information about the availability of electronic subscriptions and print versions are maintained in Alma. Although Alma has the ability to interact with financial systems to manage vendor subscriptions and payments, FDA does not use it for this purpose and has disabled this functionality. Alma is 100% cloud-based on the ExLibris CSP architecture. The second subcomponent of FindIT, Primo VE, is utilized by end users who are external to the FDA (members of the public). External users use Primo VE to search through the open uniform resource locator (OpenURL) compliant databases where information is passed into Alma to determine if the publication being requested is available. If Alma does maintain the publication searched by the user, the link to that particular publication is presented. If the publication being requested is not within Alma, the link to document delivery is provided. External users also have the ability to search the library catalog for print material, electronic material, or both, given search criteria and faceted classification (a way of organizing information relevant to the "search results" being displayed). Users group items in a navigation pane based on relevant search subjects, date ranges, and other elements. Primo VE is a 100% cloud based component that resides on the ExLibris CSP infrastructure. Through Active Directory (AD), FDA users access the system via SSO. External users access OC FindIT via an open uniform resource locator (OpenURL) and HyperText Transfer Protocol (HTTP). FDA does not collect personally

		identifiable information (PII) from external users of the system. While access is restricted, all users, both FDA and non-FDA, have access to materials in the library. Administrators assign roles/permissions for all FDA users with access to FindIT.
PTA 05:	List and/or describe all the types of information that are collected, maintained, and/or shared by the system regardless of whether that information is PII and how long that information is stored.	OC FindIT collects the following PII from FDA Employees and Direct Contractors: (a) first and last name; (b) work email address; (c) work phone number; and (d) work mailing address. The agency retains this information in FindIT until the person leaves the FDA. The PII is not shared with any other system or organization. The system does not collect PII data about external users of the system (members of the public). However, PII found within individual publications (articles and abstracts) consists of name of author(s) and contributor(s) (i.e., doctors, politicians, etc.) and similar individuals who are aware of and desire the publication of their name in association with the specific article. The name of authors, contributors and individuals specified in the articles/publications are considered PII data. FindIT also collects the following non-PII data elements: (a) Bibliographic information about print resources; and (b) Bibliographic and URL information about electronic resources. All data maintained in the system is done so in accordance with National Archives and Records Administration (NARA) general records schedules.
PTA 05A:	Are user credentials used to access the system?	Yes, but the user credentials are maintained in a separate system (e.g., AD, AMS) and not collected or maintained by this system.
PTA 05C:	Please identify the system that maintains the user credentials or controls access to this system.	The system providing credentials is Active Directory.

PTA 06:	Describe why each type of information is collected, maintained, and/or shared by the system. Specify what information is collected about each category of individual.	OC FindIT is a Software as a Service (SaaS), ExLibris cloud-based catalog and search tool managed by the FDA in order to maintain and collect books, journals and other literature for FDA and/or the public to retrieve via print and/or electronically. FindIT aligns with the FDAs public health mission by providing access to evidence-based information sources. Users of the system have different roles in supporting system operation. Library Staff (FDA Employees and Direct Contractors) create records in Alma to represent print and electronic holdings made available to FDA. External users and FDA staff search the collection of both print and electronic books and journals, as well as perform article level searching across hundreds of public bibliographic databases. FDA Administrators utilize SSO via AD to allow and control access for FDA users. Administrators assign roles/permissions for all users of FindIT. OC FindIT collects the following PII from FDA Employees and Direct Contractors: (a) first and last name, (b) work e-mail address, (c) work phone number, and (d) work mailing address. PII data for user members of the public is not collected, however names of author(s), contributor(s) and individuals specified within articles and publications are captured by the system and considered PII. Although internal users of the system utilize SSO and use their personal identity verification (PIV) cards to access FindIT, external users access the system via an open uniform resource locator (OpenURL) and HyperText Transfer Protocol (HTTP). No credentials are required for external users. Users of FindIT do not use any personal identifiers to retrieve records held within FindIT.
PTA 07:	Does the system collect, maintain, use, or share PII?	Yes
PTA 08:	Does the system include a website or online application?	Yes

PTA 08A:	Provide the URL(s).	The first uniform resource locator (URL) (PRIMO) is available to internal and external users. Non-Food and Drug Administration (FDA) users can search for results but are not able to access any of the resources contained in the results because those are Internet Protocol (IP) address authenticated from internal FDA IPs. https://fda-primo.hosted.exlibrisgroup.com/primo-explore/search vid=01FDA&lang=en_US&sortby=rank The second URL (Alma) is only available to internal users through single sign-on and is not discoverable by external users. https://fda.alma.exlibrisgroup.com/SAML
PTA 08B:	Are any of the website or online applications accessible by the public (including publicly accessible log in pages)?	Yes
PTA 09:	Describe the purpose of the website, who has access to it, and how users access the web site (via public URL, log in, etc.). Please address each element in your response.	The purpose of the website is to provide access to library resources for all FDA staff. Hundreds of thousands of books, journals, and databases can be searched for by name or subject and the results will include direct links to the resources. FDA Employees and Direct Contractors (internal users) access the website via SSO authentication and PIV using an internal URL. External users can only access the Primo VE portion which provides them with search results but no access to the specific resources.
PTA 10:	Does the website have a posted privacy notice?	Yes
PTA 11:	Does the website contain links to non-federal government websites external to HHS?	Yes
PTA 11A:	Is a disclaimer notice provided to users that follow external links to websites not owned or operated by HHS?	Yes
PTA 12:	Does the website use web measurement and customization technology?	No
PTA 13:	Does the website have any information or pages directed at children under the age of thirteen?	No
PTA 14:	Does the system have a mobile application?	No
PTA 20:	Are any third-party websites or applications (TPWA) associated with the system?	No
PTA 21:	Does this system use artificial intelligence (AI) tools or technologies?	No

Privacy Impact Assessment

Privacy Impact Assessment

PIA 22:	Indicate the type(s) of personally identifiable information (PII) that the system will collect, maintain, or share.	Biographical Information Name Contact Information Email Address (Business) Mailing Address (Business) Phone Numbers (Business)
PIA 23:	Indicate the categories of individuals about whom PII is collected, maintained, or shared.	Employees/HHS Direct Contractors Members of the public
PIA 24:	Indicate the approximate number of individuals whose PII is maintained in the system.	10,000 – 49,999
PIA 25:	For what primary purpose is the PII used?	FDA uses the e-mail address for user authentication. The additional contact information collected by FindIT is used to contact agency system users should they have overdue items.
PIA 26:	Describe any secondary uses for which the PII will be used (e.g., testing, training, or research).	The FDA makes no secondary use of the PII.
PIA 28:	Identify legal authorities, governing information use and disclosure specific to the system and program.	The legal authorities that govern information use and disclosures specific to the system and program are: 5 U.S.C. 301, 44 U.S.C. sections 2904 and 3102 for the authority to conduct actions in support of necessary operations and to maintain and gather records to satisfy legal requirements.
PIA 29:	Are records in the system retrieved by one or more PII data elements?	No
PIA 30:	Identify the sources of PII in the system.	Directly from an individual about whom the information pertains Online Government Sources Within the OPDIV Non-Government Sources Members of the Public
PIA 31:	Is there an Office of Management and Budget (OMB) information collection approval number?	No
PIA 31B:	Explain why an OMB information collection approval number is not required.	OC FindIT System does not collect information using an information collection request as defined by the Paperwork Reduction Act.
PIA 32:	Is the PII in the system shared directly with other organizations outside the system's Operating Division?	No
PIA 33:	Is the submission of PII by individuals voluntary or mandatory as defined in the Privacy Act?	Voluntary

PIA 34:	Describe the method in place to notify and obtain consent from individuals whose PII will be collected. If no prior notice is given or consent cannot be obtained, explain why.	There is no opt-out of the collection of necessary PII as a condition of employment at FDA. The collection of PII is necessary for system access and use, and for the user to obtain print and/or electronic books/journals. PII information is not collected for public/private sectors so there is no opt out option for such individuals. The authors or contributors are not made aware of their PII collection; however, it is to be expected as their work is intended for educational purposes. Once published, author and contributor do not have an option to opt-out of their low impact PII.
PIA 35:	Describe the process to 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 original collection). If they cannot be notified or have their consent obtained, explain why.	FDA users (in subcomponent Alma) are notified of any major changes via email, webpages, system content and/or user guides. External users (in subcomponent Primo VE) are notified of major changes via a website notification. No major changes are expected or anticipated for the system involving PII data collected or stored. Also, the authors or contributors are not made aware of their PII collection, however it is to be expected as their work is intended for educational purposes. Once published, author and contributor do not have an option to opt-out of their low impact PII.
PIA 36:	Describe the process in place to resolve an individual's concerns when they believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate. If no process exists, explain why not.	FDA personnel with concerns have several avenues available for redress including the Employee Resource and Information Center (ERIC), the FDA Privacy Office, the Cybersecurity and Infrastructure Operations Coordination Center (CIOCC) and other FDA offices, via email, phone and standard mail avenues (all listed on FDA.gov and the FDA intranet). Members of the public with concerns may contact the FDA organization with whom they communicate and FDA's Privacy Office using contact information available on FDA.gov. FDA personnel who suspect a breach are to immediately report their suspicions to the CIOCC. Note that authors and/or contributors are fully aware that their work is intended for educational purposes and therefore inappropriate usage, or disclosure is not applicable.

PIA 37:	Describe the process in place for periodic reviews of the system to ensure the integrity, availability, accuracy, and relevancy of the PII in the system. Please address each element in your response. If no processes are in place, explain why not.	There is an annual review of the PII contained in the system. In order for a user to obtain library works, the PII has to be correct and/or corrected when entered incorrectly. OC FindIT user access is based on document level security. Access is granted and restricted at the individual level as appropriate to the individual's duties (role-based access). Integrity and availability are protected by security controls selected and implemented during assessing the system for an Authorization to Operate (ATO) approval. Controls are selected based on National Institute of Standards and Technology (NIST) guidance related to the system's security categorization level, appropriate to the system's level of risk as determined using NIST's Federal Information Processing Standards (FIPS) 199. OC Assessment Team performs quarterly reviews to evaluate user access. One of the controls includes information system backups reflecting the requirements in contingency plans as well as other agency requirements for backing up information. Data discrepancies identified in the system are addressed when discovered.
PIA 38:	Identify who will have access to the PII in the system.	Users Administrators Developers Contractors
PIA 38A:	Select the type of contractor.	HHS/OpDiv Direct Contractors
PIA 38B:	Do contracts include Federal Acquisition Regulation (FAR) and other appropriate clauses ensuring adherence to privacy provisions and practices?	Yes
PIA 39:	Provide the reason why each of the groups identified in 38 needs access to PII.	Users: FDA internal users require access so they can view their own PII information while logged into the system. Administrators: FDA Administrators, some of whom are FDA Employees and Direct Contractors, work with the AD system that syncs with FindIT to allow access for FDA users. Administrators assign roles/permissions for all users of FindIT. Developers: ExLibris is a third-party Cloud Service Provider with access to the servers and perform administrative functions for FindIT. Contractors: Some Administrators are Direct Contractors.

PIA 40:	Describe the administrative procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.	OC FindIT user (FDA Employees and/or the Public) access is limited to perform searches on the content within the FDA Library. The FDA Administrators and/or ExLibris Cloud Service Providers (with full access to system data) perform administrative roles and although they have access to PII, they utilize it only for access/authentication purposes.
PIA 41:	Describe the technical methods in place to allow those with access to PII to access only the minimum amount of information necessary to perform their job.	FDA and ExLibris Cloud Service Provider Administrators have full access to the OC FindIT system. Controls are in place to separate permission settings based on assigned roles. PII is accessed as needed to perform their job. Users are assigned access rights restricting their access to PII in the system.
PIA 42:	Identify the general security and privacy awareness training provided to system users (system owners, managers, operators, contractors and/or program managers) to make them aware of their responsibilities for protecting the information being collected and maintained.	All system users at FDA complete annual mandatory computer security and privacy awareness training. This training includes guidance on Federal laws, policies, and regulations relating to privacy and data confidentiality, integrity and availability, as well as the handling of data (including any special restrictions on data use and/or disclosure). The FDA Office of Digital Transformation (ODT) verifies that training has been successfully completed.
PIA 43:	Describe the training system users receive above and beyond general security and privacy awareness training.	No additional system-specific training is received by users; however, users are provided with user guides and manuals, and privacy guidance is available on the FDA intranet and from Privacy staff.
PIA 44:	Describe the process and guidelines in place for the retention and destruction of PII. Cite specific National Archives and Records Administration (NARA) records retention schedule(s) and include the retention period(s).	Applications operating under the OC FindIT component are maintained under General Records Schedule (GRS) 4.4, Interlibrary Loan Requests (ILL), Item 030, Library Records. This schedule includes the InterLibrary loan (ILL) is the electronic system used to request articles, books, and other documents from the FDA Library. Disposition for these files is temporary; Destroy 5 years after completing the transaction.

PIA 45:	Describe how the PII will be secured in the system using administrative, technical, and physical controls. Please address each element in your response.	Administrative safeguards include role-based access restriction, user training, system documentation that advises on proper use; implementation of Need to Know and Minimum Necessary principles when awarding access, and others. Technical Safeguards include uses of firewalls, access controls, encryption of files, certificates or logs, and regular testing of information technology systems. Physical controls include that all system servers are located at FDA facilities protected by guards, locked facility doors, and climate controls. Other appropriate controls have been selected from the NIST's Special Publication 800-53, as determined using Federal Information Processing Standard (FIPS) 199.

Review and Comments

OpDiv Privacy Analyst Review

Privacy Analyst Review Decision:	Approved	**Privacy Analyst Review Date:**	5/22/2026
Privacy Analyst Review Comments:		**# of Days - PA Review:**	1

SOP Review

SOP Review Decision:	Approved	**SOP Review Date:**	6/1/2026
SOP Review Comments:	The FDA's Senior Official for Privacy (SOP) has: (a) approved the Privacy Threshold Analysis (PTA)/Privacy Impact Assessment (PIA) conducted for the subject system/component; (b) reviewed and approved the associated security categorization; and (c) reviewed and confirmed acceptable implementation status of the assigned privacy controls. 5/15/2026 Note the Archer error associated with question General 03: "Does the system have or is it covered by a Security Authorization to Operate (ATO)?" The FDA instance of Archer is automatically entering the answer "No" which is incorrect. At this time, we are unable to update Archer to reflect the correct answer "Yes." The ATO date is 6/21/2026. The FDA Archer Team is aware of this occurrence and is working on a solution.	**# of Days - SOP Review:**	10

Agency Privacy Analyst Review

Agency Privacy Analyst Review Decision:	Approved	**Agency Privacy Analyst Review Date:**	6/3/2026
Agency Privacy Analyst Review Comments:	Reviewer: Shanai Shobowale 6/3/2026 All comment(s) were addressed. This PIA is ready for SAOP review and approval. 5/21/2026 Please see comment and update accordingly. **PIA-28:** Please list at least one relevant Executive Order or Statute should be cited. If no other authorities are known, you may cite to 5 USC 301, Departmental regulations.	**# of Days - APA Review:**	2

SAOP Review

SAOP Review Decision:	Approved	**SAOP Review Date:**	6/4/2026
SAOP Review Comments:		**# of Days - SAOP Review:**	1

SAOP Signature

Date	User	Type	Name	Original Value	New Value
6/4/2026 4:14 PM	BAUR, VANESSA	Signature	SAOP (Email PIN)		Content Signed

Supporting Document(s)

Name	Size	Type	Upload Date	Downloads
No Records Found				

Comments

Question Name	Submitter	Date	Comment	Attachment
PTA 01	BLAND, CRYSTAL	5/18/2026	5/18/2026 Per FDA's Email Attached Copy of the PIA.	OC FindIT SOP approved 5.15.2026.pdf
PIA 28	BLAND, CRYSTAL	5/21/2026	Please list at least one relevant Executive Order or Statute should be cited. If no other authorities are known, you may cite to 5 USC 301, Departmental regulations.	
PTA 01	BLAND, CRYSTAL	6/3/2026	6/3/2026 Per FDA's Email attached is the updated PIA and email.	RE_ HHS FDA PIA Returned with Comment(s)-FDA - FindIT - QTR2 - 2026 - FDA5270453 PIA .pdf OC FindIT System SOP reapproval 6.1.26.pdf