

US Department of Health and Human Services

Privacy Impact Assessment

Date Signed:

08/05/2025

OPDIV:

NIH

Name:

NIEHS-ALL-Strategic-Plan (NIEHS-StratPlan)

PIA Unique Identifier:

P-1031105-730421

The subject of this PIA is which of the following?

Electronic Information Collection

Identify the Enterprise Performance Lifecycle Phase of the system.

Operations and Maintenance

Is this a FISMA-Reportable system?

No

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

Yes

Identify the operator.

Agency

Is this a new or existing system?

Existing

Does the system have Security Authorization (SA)?

Yes

Indicate the following reason(s) for updating this PIA.

PIA Validation

Describe in further detail any changes to the system that have occurred since the last PIA.

There have been no changes since the last assessment.

Describe the purpose of the system.

The National Institute of Environmental Health Sciences (NIEHS) routinely seeks public and personnel comments for consideration as part of the Institution's efforts to collect and consider general public input about the state of environmental health and specific input about various NIEHS goals and objectives related to environmental health sciences. Public and personnel input will inform NIEHS on how current trends, ideas, practices, and needs in environmental health sciences might help to shape the next phase of the Institute's work, and to provide leadership to the field. Information collected will be used for analysis and compilation to support the Institute's continuing development.

There are four current survey systems:

- The Strategic Plan survey is an optional survey to obtain input about strategic objectives and supporting focus areas of priority effort for each.
- The Green Researcher Self-Assessment optional survey is for internal personnel only.
- The Federal Lead Strategy Survey collects input about the development of a new Federal Lead Strategy by the President's Task Force on Environmental Health Risks and Safety Risks to Children.
- The Environmental Health Perspectives survey is an optional survey to obtain input about strategic objectives and supporting focus areas of the unit's monthly online-only journal of peer-reviewed research and news

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

Information collected and maintained will consist of survey responses - a combination of personal information that includes personally identifiable information (PII) and general information.

The personal information requested as part of Institute surveys is specific to the survey participant and consists of the following information: first name (optional field), last name (optional field), nickname (optional field), email (optional field), telephone number (optional field), division (for internal respondents), lab group name (for internal respondents), name of Principal Investigator (for internal respondents), and affiliation (for external respondents - e.g., organization, field, or other information to qualify their input - required field).

The general information requested as part of the survey consists of comments (optional fields) and any document(s) (e.g., report, graph) the survey participant wants to provide in response to survey questions (optional fields). Responders do not have to log in. No credentials (username or password) are collected.

Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily.

The purpose of the system is to collect public and personnel input about the state of environmental health and specific input about NIEHS goals and objectives related to environmental health sciences. This information will be used for analysis and compilation to support the Institute's continuing development.

The Strategic Plan survey is an optional survey to obtain input about strategic objectives and supporting focus areas of priority effort for each. First and last name will be used as a unique identifier of the records and for identification when the individual participant requests follow up action regarding his/her survey contribution(s). Email and/or telephone number will be used to provide updates to individual participants regarding the survey review process if requested by the individual participant or to communicate with individual participants in response to his/her inquiries about his/her submission. Affiliation will be used to help evaluate comments.

The Green Researcher Self-Assessment optional survey is for internal personnel only. Personnel are not required to complete the survey, but if they do then personnel must provide name, email, division, the name of their Principal Investigator, and their lab group name. The survey mechanism will automatically pull the survey taker's name and email in the NIH Employee Directory (NED) for the survey participant - and it allows the option for the individual to then provide a nickname if different than first name reflected in NED for the purpose of survey administrators to use when communicating with individual participants in response to the information submitted via the survey. NED maintains its own unique privacy impact assessment (PIA) with all legal authorities documented.

The Federal Lead Strategy Survey is to collect input about the development of a new Federal Lead

Strategy by the President's Task Force on Environmental Health Risks and Safety Risks to Children, of which HHS is the co-chair and on which NIEHS engages as part of the Senior Steering Committee and various subcommittees. Email and/or telephone number will be used to provide updates to individual participants regarding the survey review process if requested by the individual participant or to communicate with individual participants in response to his/her inquiries about his/her submission. Affiliation will be used to help evaluate comments.

The Environmental Health Perspectives (EHP) optional survey will be used for preparations for and participation during a multi-day strategic planning session, to solicit input from individuals across the environmental health sciences community about how the journal should develop over the coming years. As part of this strategic planning session, participants will be asked to pre-register for the meeting and provide name and email address for EHP staff to use to keep them informed of logistical information for the planning sessions (date, time, teleconference credentials).

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

Yes

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

Name

E-Mail Address

Phone Numbers

Affiliation

For internal personnel only - their division, Principal Investigator, and lab group name.

External users: Comments and de-identified documents

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

Employees

Public Citizens

How many individuals' PII is in the system?

500-4,999

For what primary purpose is the PII used?

First and last name will be used as a unique identifier of the records and for identification when the individual participant requests follow up action regarding his/her survey contribution(s). Email and/or telephone number will be used to provide updates to individual participants regarding the survey review process if requested by the individual participant or to communicate with individual participants in response to his/her inquiries about his/her submission. Affiliation will be used to help evaluate comments.

Note: the 2020 Green Researcher Self-Assessment survey is optional for internal personnel only. Personnel are not required to complete the survey, but if they do then personnel must provide name, email, division, the name of their Principal Investigator, and their lab group name. That PII is to identify the individual and their specific work group.

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

Not Applicable.

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

Authority for this system comes from the authorities regarding the establishment of the National

Institutes of Health (NIH), its general authority to conduct and fund research and to provide training assistance, and its general authority to maintain records in connection with these and its other functions (42 U.S.C. 203, 241, 289l-1 and 44 U.S.C. 3101), and Section 301 and 493 of the Public Health Service Act.

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

Yes

Identify the number and title of the Privacy Act System of Records Notice (SORN) that is being used to cover the system or identify if a SORN is being developed.

09-25-0156 Records of Participants in Programs and Respondents in Surveys Used to Evaluate

Identify the sources of PII in the system.

Directly from an individual about whom the information pertains

Online

Government Sources

Identify the OMB information collection approval number and expiration date

Not Applicable. Paperwork Reduction Act clearance is not necessary for general invitations for public comments and suggestions such as what is being sought through these types of surveys.

Is the PII shared with other organizations?

No

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

The Privacy Act Statement is included in the frequently asked questions (FAQ) section of the survey, a required section to be viewed preceding the survey portions allowing for the individual, voluntary comments.

Is the submission of PII by individuals voluntary or mandatory?

Voluntary

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

Participation in surveys is voluntary. In order to provide any response(s) to a survey, the individual must provide his or her affiliation. The individual need not provide any of the optional information requested (i.e., first name, last name, email, phone) in order to provide any response(s) to the survey.

The 2020 Green Researcher Self-Assessment optional survey is for internal personnel only. Personnel are not required to complete the survey, but if they do then personnel must provide name, email, division, the name of their Principal Investigator, and their lab group name. The survey mechanism will automatically pull the survey taker's name and email in the NIH Employee Directory (NED) for the survey participant - and it allows the option for the individual to then provide a nickname or email than what is reflected in NED, if preferred, for the purpose of using the information submitted via the survey.

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

NIEHS does not anticipate further changes to the system. Information is voluntarily provided by responders and collected and maintained on a short-term basis. Responders' contact information is

voluntary.

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.

The information collected is provided by the individual participant. Participation in the survey is voluntary. Individual participants are provided general contact information that can be used to inform NIEHS of any corrections to the information the individual provided. The relevant personnel in the respective NIEHS office overseeing the specific survey will respond to an individual's request to make any changes to information that individual provided.

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

For the purpose of this system, authentication of personally identifiable information (PII) is not necessary, and therefore there are no periodic reviews anticipated.

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

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

Access is limited to necessary personnel in the respective NIEHS office overseeing the specific survey based on the employee's role and responsibilities. Access to the PII is based on the employee's role in the process (e.g., access to individuals' emails who request updates concerning the specific survey process, following up with individuals in response to inquiries about their own submissions).

Describe the methods in place to allow those with access to PII to only access the minimum amount of information necessary to perform their job.

Limited personnel in the respective NIEHS office overseeing the specific survey will be provided access to PII based on their critical roles in the process of evaluating the comments and/or documents provided by individual participants. Access to the PII is based on the employee's role in the process (e.g., access to individuals' emails who request updates concerning the specific NIEHS survey process, following up with individuals in response to inquiries about their own submissions).

Identify training and awareness provided to personnel (system owners, managers, operators, contractors and/or program managers) using the system to make them aware of their responsibilities for protecting the information being collected and maintained.

According to NIH policy, all personnel who manage or operate NIH applications must successfully complete annual information security and information management training. Training is completed on the <http://irtsectraining.nih.gov> site with valid NIH credentials.

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

Refresher or additional training may be required on an as-needed basis.

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

Yes

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

Records generated by this system fall within the General Records Schedule, 11-202, Public

Correspondence and Communications not Requiring Formal Action (DAA-GRS-2016-0005-0002). The disposition of such records are to destroy them when 90 days old, but longer retention is authorized if required for business use.

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

Infrastructure supporting the NIEHS Strategic Plan is a sub-system of the NIEHS General Support System (GSS), located in the NIEHS datacenter that is on a Federal government campus, protected by armed guards, and behind secured doors where all entry and exit is tracked, monitored, and restricted to authorized individuals only (monitoring is 24/7).

Physical Controls: The information technology (IT) hardware used to host protected survey information is located in a secured datacenter facility. The facility is only open to authorized personnel whose access is monitored by locking doors with badge readers for both ingress and egress. Each discrete ingress and egress event is logged. The facility is under 24-hour surveillance by facilities security for security and environmental hazards.

Technical Controls: The IT hardware and software used to host the protected survey information is segregated from default commodity public networks to prevent unauthorized or malicious access. Access controls lists and event logs are maintained and monitored to detect unauthorized, suspicious or malicious activity. Access lists are restricted to approved IT technical personnel. Two factor authentication must be used for access. File integrity and auditing software are employed on hardware.

Administrative Controls: All technical personnel who access IT systems which contain protected information have met background investigation criteria for Public Trust positions. All personnel have taken mandatory security training and awareness classes and refreshers. Personnel accessing these systems use privileged and separate accounts for administrative access to systems.

Identify the publicly-available URL:

Current or Recent Surveys are/were available at the following URLs:

NIEHS 2017 Strategic Plan Survey at https://www.research.net/r/niehs_strategic_plan

NIEHS Strategic Plan 2018-2023: Advancing Environmental Health Science, Improving Health 2.0 at https://www.research.net/r/niehs_strategic_plan

Federal Lead Strategy Input Survey at <https://ptfceh.niehs.nih.gov/activities/lead-exposures/index.htm>

Environmental Health Perspectives survey at <https://www.niehs.nih.gov/news/events/>

Note: web address is a hyperlink.

Does the website have a posted privacy notice?

Yes

Is the privacy policy available in a machine-readable format?

Yes

Does the website use web measurement and customization technology?

Yes

Select the type of website measurement and customization technologies is in use and if it is used to collect PII.

Does the website have any information or pages directed at children under the age of thirteen?

No

Does the website contain links to non- federal government websites external to HHS?

No

Is a disclaimer notice provided to users that follow external links to websites not owned or operated by HHS?

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