

PIA Template

Refer to the PIA Writing Guide (Appendix D) for guidance in responding to the questions below. If not applicable, respond N/A.

CONTACT INFORMATION

Project Manager/ System Owner(s)

Name

Title

Organization

Telephone Number

GENERAL INFORMATION - Project/System Information

1. Name of Project or System.
2. Description of Project or System.
3. What is the purpose of the Project or System?
4. Requested Operational Date?
5. System of Records Notice (SORN) number?
6. Is this an Exhibit 300 project or system?
7. What specific legal authorities, arrangements, and/or agreements require the collection of this information?

SECTION I - Data in the System

1. What data is to be collected?
2. What are the sources of the data?
3. Why is the data being collected?
4. What technologies will be used to collect the data?
5. Does a personal identifier retrieve the data?

SECTION II - Attributes of the Data (use and accuracy)

1. Describe the uses of the data.
2. Does the system analyze data to assist users in identifying previously unknown areas of note, concern or pattern?
3. How will the data collected from individuals or derived by the system be checked for accuracy?

SECTION III - Sharing Practices

1. Will the data be shared with any internal or external organizations?
2. How is the data transmitted or disclosed to the internal or external organization?
3. How is the shared data secured by external recipients?

SECTION IV - Notice to Individuals to Decline/Consent Use

1. Was notice provided to the different individuals prior to collection of data?
2. Do individuals have the opportunity and/or right to decline to provide data?
3. Do individuals have the right to consent to particular uses of the data?

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SECTION V - Access to Data (administrative and technological controls)

1. Has the retention schedule been established by the Records Officer? If so, what is the retention period for the data in the system?
2. What are the procedures for identification and disposition of the data at the end of the retention period?
3. Describe the privacy training provided to users, either generally or specifically relevant to the program or system?
4. Will SEC contractors have access to the system?
5. Is the data secured in accordance with FISMA requirements?
 - If **NO**, answer questions 6-9 below.
 - If **YES**, provide date that the Certification & Accreditation was completed.
6. Which user group(s) will have access to the system?
7. How is access to the data by a user determined? Are procedures documented?
8. How are the actual assignments of roles and rules verified according to established security and auditing procedures?
9. What auditing measures/controls and technical safeguards are in place to prevent misuse (e.g., unauthorized browsing) of data?

SECTION VI - Privacy Analysis

Given the amount and type of data being collected, discuss what privacy risks were identified and how they were mitigated.

Signature of Individual(s) completing this form

System Owner/Date

Project Manager/Date

Endorsement

Chief Privacy Officer/Date

Chief Information Security Officer/Date

Approval

Chief Information Officer/Date