Template Version Number: 01-2021

U.S. Department of Commerce
National Oceanic & Atmospheric Administration

Privacy Threshold Analysis for the
NOAA6301

National Centers for Coastal Ocean Science (NCCOS)

Research Support System

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U.S. Department of Commerce Privacy Threshold Analysis

NOAA/NOS/National Centers for Coastal Ocean Science (NCCOS)

Research Support System

Unique Project Identifier: NOAA6301

Introduction: This Privacy Threshold Analysis (PTA) is a questionnaire to assist with determining if a Privacy Impact Assessment (PIA) is necessary for this IT system. This PTA is primarily based from the Office of Management and Budget (OMB) privacy guidance and the Department of Commerce (DOC) IT security/privacy policy. If questions arise or further guidance is needed in order to complete this PTA, please contact your Bureau Chief Privacy Officer (BCPO).

Description of the information system: *Provide a brief description of the information system.*

The E-Government Act of 2002 defines "information system" by reference to the definition section of Title 44 of the United States Code. The following is a summary of the definition: "Information system" means a discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information. See: 44. U.S.C. § 3502(8).

National Centers for Coastal Ocean Science (NCCOS) mission is to deliver ecosystem science solutions for stewardship of the Nation's ocean and coastal resources to sustain thriving coastal communities and economies. NCCOS helps NOAA meet its coastal stewardship and management responsibilities, and provides coastal managers with the scientific information necessary to decide how best to protect environmental resources and public health, preserve valued habitats, and improve the way communities interact with coastal ecosystems.

NCCOS has six strategic priorities that guide NCCOS's science and competitive research investments and provide the information necessary to address complex coastal challenges:

- *Advancing Ecosystem Science for Conservation and Sustainable Use*
- *Developing and Implementing Advanced Observation Technologies and Ecological Forecasts*
- *Facilitating Resilience and Adaptation to Inundation and Climate Impacts*
- *Detecting, Monitoring, and Mitigating Impacts of Chemical and Biological Stressors*
- *Advancing Social, Economic, and Behavioral Approaches to Coastal Stewardship*
- *Investing in our People and Achieving Organizational Excellence*

NOAA6301 is the *Research Support System* for NCCOS Program Office. It is a logical interconnection of NCCOS geographically dispersed system components (Servers, Workstations, Printers, Storage, Applications, Databases and Miscellaneous Devices) residing in four NCCOS research facilities and in *Microsoft Azure Cloud* (East US2 and Central US region).

The NOAA6301 system:

- Provides support to the *Ecosystem Science* priority that focuses on the study of interrelationships among living organisms, physical features, biogeochemical processes,

natural phenomena, and human activities. Due to the complex nature and geographic extent of coastal ecosystems and the myriad dynamic natural resource conservation issues, NCCOS has developed four sub-priority focal areas of importance to managers. These are:
    - *Marine Spatial Planning (MSP)* – A process of analyzing and allocating the spatial and temporal distribution of human activities to balance ecological, economic, and social objectives for specific locations.
    - *Habitat Mapping* – Uses a suite of remote sensing technologies to acquire acoustic and optical data to develop digital species distributions and habitat maps.
    - *Biogeographic/Ecological Assessments and Research* – Examine the spatial and temporal distributions of organisms, habitats, and the historical and biological factors that produce ecological patterns.
    - *Monitoring and Research in Coral Reef Ecosystems* – Conduct a suite of natural and social science investigations, including determining the impact of pollution and diseases on coral reef ecosystems, restoration science, and increasing our overall understanding of reef ecology.
- Provides support to the *Ecological Forecasting* priority, an interdisciplinary science capability that relies on observation technologies, the data they provide, and models to predict where, when, magnitude/severity, and socioeconomic impacts of Harmful Algal Blooms (HABs), hypoxia, pathogens, and coastal habitat changes (which also determine the abundance and distribution of species) on coastal ecosystems, communities, and economies. This priority specifically focuses on:
    - Developing and using models that integrate a more diverse set of data (e.g., biological, physical, chemical, environmental, socioeconomic, spatial, temporal, etc.)
    - Using advanced observation platforms such as satellites, unmanned systems, and field-portable devices;
    - Developing and deploying more capable and cost-effective passive and active sensors that deliver real-time data at finer spatial and temporal resolutions. Reducing the time between data collection and processing to make data available for use in early warning systems and forecasts;
    - Increasing the accuracy and extending the time period covered by forecasts;
    - Expanding forecasting and observing capabilities to serve new regions and addressing emerging ecological concerns; and
    - Integrating models (e.g., HAB, ocean acidification, hypoxia, pathogen, climate, biogeochemical, habitat, and socioeconomic models) that individually capture sub-components of coastal ecosystems and communities, but once linked and working together delivers more comprehensive, powerful, and useful ecological forecasts.
- Provides support to the *Climate and Resilience* priority, that focuses on advancing understanding of ecosystem (value of wetlands, coral reefs, and other natural coastal infrastructure under varying sea level rise, storm, and adaptation scenarios) and community vulnerability to climate impacts (such as the effects of increased ocean temperatures on harmful algal bloom distribution and changes in ecosystem system function) and evaluating potential mitigation actions that include natural approaches (quantifying the ability of natural and nature-based features to mitigate coastal inundation impacts and maximize protective value). Within this priority, NCCOS focuses on the following three sub-priorities:
    - Ecosystem Change,

    - Community and Ecosystem Vulnerability, and
    - Restoration and Natural and Nature-based Features.
- Provides support to the *Detection, Monitoring and Impacts of Chemical and Biological Stressors* priority that focuses on detecting, monitoring, quantifying, and assessing the impact of:
    - priority chemicals (crude oil, pesticides, personal care products, pharmaceuticals, flame retardants and microplastics), ocean acidification and hypoxia on coastal ecosystems;
    - disease agents on corals; and
    - the role of climate and environmental factors in exacerbating these impacts;
- Provides support to the *Coastal Stewardship* priority, that focuses on advancing communities' understanding of the relationships between coastal ecosystems and human behaviors within three interconnected sub-priorities of research:
    - *Ecosystem Services Valuation* – Identify, measure, and estimate the value of ecosystem services for use by coastal communities, planners, managers, and regulators.
    - *Resilience and Vulnerability* Assessments – Generate information and tools that community's need to better plan for, recover from, and adapt to coastal hazards.
    - *Assessing Human Uses* – Identify and characterize patterns of social, cultural, and economic behaviors that influence how coastal spaces are used and valued, and information on these patterns can be used to better manage these spaces.
- Provides support to *People and Organizational Excellence* priority, that focuses on applying innovative approaches to both research and science support functions and our staff, because their in-depth expertise and willingness to collaborate and contribute are sought after by a broad range of stakeholders and partners.
- Provides an operational environment supporting the overall NCCOS mission and division staff located in the Silver Spring Metro Center (SSMC) Campus, MD; Beaufort, NC; Charleston, SC; and Oxford, MD;
- Provides resources supporting the following services – IT acquisition (non-enterprise), facilities coordination (non-SSMC), desktop management, server administration, high performance computing (HPC), data management, print services, application management (static/dynamic websites and specialty applications for GIS/statistical analysis), database administration, field data acquisition, backup and restoration, service desk, mobile device management, and other media support services;
- Provides LAN and WAN services fully managed by NOAA N-Wave (NOAA0550) for all NCCOS locations. Particularly for Silver Spring MD these services are managed by NOAA0550 through NOAA6001 (NOS).

In addition to the general purposes office automation support (file/printer sharing, application hosting, collaboration, etc.) provided by NOAA6301, the system provides help desk services and supports a number of web sites and internal minor applications. NCCOS only hosts minor applications and databases. There is *no* major application or database within NOAA6301 that is used to collect or store BII or PII.

NOAA6301 is *not* designated as having any critical function of maintaining the security, privacy, and resiliency of the Federal Civilian Enterprise.

NOAA6301 neither operates/supports any of the NOAA's Primary Mission Essential Functions (PMEFs) nor any NOS Mission Essential Functions (MEFs). NOAA6301 does not process, store, or transmit any data or information that is of high value.

Limited PII is collected, stored and maintained to support internal COOP, Human Resources, Travel, Facility Management and Workforce Planning processes. Limited BII is collected during pre/post acquisition activities and as a part of NCCOS grants management program utilizing *NOAA Grants Online (NOAA1101)* system.

NOAA6301 FIPS-199 System Security Categorization system document details the system security categorization and all the information types that are representative of input, stored, processed, and/or output data from NOAA6301.

Address the following elements:

a) *Whether it is a general support system, major application, or other type of system*

NOAA6301 defined as NCCOS Research Support System (N-RSS) is a General Support System for the National Centers for Coastal Ocean Science (NCCOS) Program Office.

b) *System location*

NOAA6301 has system components in four NCCOS research facilities (Silver Spring, MD; Charleston, SC; Beaufort, NC; Oxford, MD) and Microsoft Azure Cloud (East US, East US2 and Central US region).

c) *Whether it is a standalone system or interconnects with other systems (identifying and describing any other systems to which it interconnects)*

NOAA6301 has interconnections with the following FISMA systems:

- NOAA0100 – NOAA OCIO (NCSC/ESS/NCIRT)
- NOAA0520 – NOAA Environmental Security Computing Center (NESCC)
- NOAA0550 – NOAA N-Wave (NOAA Enterprise Network)
- NOAA0700 – NOAA High Availability Enterprise Services (HAES) (EDS/ICAM/NSD)
- NOAA0900 – NOAA Cloud SaaS Applications (ENS/G-Suite/MaaS360/ESRI etc.)
- NOAA1101 – NOAA Information Technology Center
- NOAA6001 – NOS Enterprise Information System

Note: No PII/BII is shared with any of the FISMA systems listed above. NOAA0100, NOAA0520, NOAA0550, NOAA0700, NOAA0900 and NOAA1101 do not issue interconnection agreements. SLAs with NOAA0550 for NCCOS Silver Spring MD location only is managed through NOAA6001, where as for other NCCOS locations (Oxford MD, Beaufort NC and Charleston SC) it is managed by NOAA6301.

d) *The purpose that the system is designed to serve*

NCCOS has six strategic priorities that guide NCCOS's science and competitive research investments and provide the information necessary to address complex coastal challenges:

- *Advancing Ecosystem Science for Conservation and Sustainable Use*
- *Developing and Implementing Advanced Observation Technologies and Ecological Forecasts*
- *Facilitating Resilience and Adaptation to Inundation and Climate Impacts*
- *Detecting, Monitoring, and Mitigating Impacts of Chemical and Biological Stressors*
- *Advancing Social, Economic, and Behavioral Approaches to Coastal Stewardship*
- *Investing in our People and Achieving Organizational Excellence*

NCCOS has research facilities located in *Silver Spring, MD; Charleston, SC; Beaufort, NC; and Oxford, MD*. Each facility contributes to the overall mission of the Program Office along with unique partnerships and cooperatives established to support and further strategic science goals.

NOAA6301 is the *Research Support System* for NCCOS Program Office. It is a logical interconnection of NCCOS geographically dispersed system components (Servers, Workstations, Printers, Storage, Applications, Databases and Miscellaneous Devices) residing in four NCCOS research facilities and in *Microsoft Azure Cloud* (East US2 and Central US region).

NOAA6301 provides the network infrastructure, hardware and software necessary to enable the mission of NCCOS, the organization. The NOAA6301 system:

- Provides support to the *Ecosystem Science* priority that focuses on the study of interrelationships among living organisms, physical features, biogeochemical processes, natural phenomena, and human activities. Due to the complex nature and geographic extent of coastal ecosystems and the myriad dynamic natural resource conservation issues, NCCOS has developed four sub-priority focal areas of importance to managers. These are:
    - *Marine Spatial Planning (MSP)* – A process of analyzing and allocating the spatial and temporal distribution of human activities to balance ecological, economic, and social objectives for specific locations.
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    - *Biogeographic/Ecological Assessments and Research* – Examine the spatial and temporal distributions of organisms, habitats, and the historical and biological factors that produce ecological patterns.
    - *Monitoring and Research in Coral Reef Ecosystems* – Conduct a suite of natural and social science investigations, including determining the impact of pollution and diseases on coral reef ecosystems, restoration science, and increasing our overall understanding of reef ecology.
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  - Developing and using models that integrate a more diverse set of data (e.g., biological, physical, chemical, environmental, socioeconomic, spatial, temporal, etc.)
  - Using advanced observation platforms such as satellites, unmanned systems, and field-portable devices;
  - Developing and deploying more capable and cost-effective passive and active sensors that deliver real-time data at finer spatial and temporal resolutions. Reducing the time between data collection and processing to make data available for use in early warning systems and forecasts;
  - Increasing the accuracy and extending the time period covered by forecasts;
  - Expanding forecasting and observing capabilities to serve new regions and addressing emerging ecological concerns; and
  - Integrating models (e.g., HAB, ocean acidification, hypoxia, pathogen, climate, biogeochemical, habitat, and socioeconomic models) that individually capture sub-components of coastal ecosystems and communities, but once linked and working together delivers more comprehensive, powerful, and useful ecological forecasts.
- Provides support to the *Climate and Resilience* priority, that focuses on advancing understanding of ecosystem (value of wetlands, coral reefs, and other natural coastal infrastructure under varying sea level rise, storm, and adaptation scenarios) and community vulnerability to climate impacts (such as the effects of increased ocean temperatures on harmful algal bloom distribution and changes in ecosystem system function) and evaluating potential mitigation actions that include natural approaches (quantifying the ability of natural and nature-based features to mitigate coastal inundation impacts and maximize protective value). Within this priority, NCCOS focuses on the following three sub-priorities:
  - Ecosystem Change,
  - Community and Ecosystem Vulnerability, and
  - Restoration and Natural and Nature-based Features.
- Provides support to the *Detection, Monitoring and Impacts of Chemical and Biological Stressors* priority that focuses on detecting, monitoring, quantifying, and assessing the impact of:
  - priority chemicals (crude oil, pesticides, personal care products, pharmaceuticals, flame retardants and microplastics), ocean acidification and hypoxia on coastal ecosystems;
  - disease agents on corals; and
  - the role of climate and environmental factors in exacerbating these impacts;
- Provides support to the *Coastal Stewardship* priority, that focuses on advancing communities' understanding of the relationships between coastal ecosystems and human behaviors within three interconnected sub-priorities of research:
  - *Ecosystem Services Valuation* – Identify, measure, and estimate the value of ecosystem services for use by coastal communities, planners, managers, and regulators.
  - *Resilience and Vulnerability* Assessments – Generate information and tools that community's need to better plan for, recover from, and adapt to coastal hazards.
  - *Assessing Human Uses* – Identify and characterize patterns of social, cultural, and economic behaviors that influence how coastal spaces are used and valued, and information on these patterns can be used to better manage these spaces.

- Provides support to *People and Organizational Excellence* priority, that focuses on applying innovative approaches to both research and science support functions and our staff, because their in-depth expertise and willingness to collaborate and contribute are sought after by a broad range of stakeholders and partners.
- Provides an operational environment supporting the overall NCCOS mission and division staff located in the Silver Spring Metro Center (SSMC) Campus, MD; Beaufort, NC; Charleston, SC; and Oxford, MD;
- Provides resources supporting the following services – IT acquisition (non-enterprise), facilities coordination (non-SSMC), desktop management, server administration, high performance computing (HPC), print services, application management (static/dynamic websites and specialty applications for GIS/statistical analysis), database administration, data management, service desk, mobile device management, and other media support services;
- Provides LAN and WAN services fully managed by NOAA N-Wave (NOAA0550) for all NCCOS locations. Particularly for Silver Spring MD these services are managed by NOAA0550 through NOAA6001 (NOS).

In addition to the general purposes office automation support (file/printer sharing, application hosting, collaboration, etc.) provided by NOAA6301, the system provides help desk services and supports a number of web sites and internal minor applications.

PII/BII in the IT system is collected, maintained, or disseminated only:

- For administrative matters;
- For administering human resources programs; and
- For web measurement and customization technologies (multi-session);

BII would be collected as a part of pre/post acquisition activities and information extracted from *NOAA Grants Online (NOAA1101)* system to support NCCOS Grants Management Program. PII would be collected for administrative actions, for HR and Workforce management.

NCCOS uses tier-2 multi-session cookies and/or other technologies for tracking analytics without collecting PII (remember a user's online interactions with NCCOS website through multiple sessions and for the purpose of improving NCCOS services online through conducting measurement and analysis of usage or to customize the user's experience) in accordance with the requirement established by *OMB M-10-22: Guidance for Online Use of Web Measurement and Customization Technologies (https://digital.gov/resources/m-10-22-guidance-for-online-use-of-web-measurement-and-customization-technologies/)*. NCCOS participates in the *GSA's Digital Analytics Program DAP (https://digital.gov/guides/dap/)* and deploy the DAP tracking code on all public facing agency websites. The DAP provides agencies with free quantitative analytics to inform website management. Participation in the DAP does not preclude agencies from using other analytics programs.

e) The way the system operates to achieve the purpose

NOAA6301 is a logical interconnection of system components (Servers, Workstations, Printers, Storage, Applications, Databases and Miscellaneous Devices) residing in four NCCOS research facilities (Silver Spring, MD; Charleston, SC; Beaufort, NC; and Oxford, MD) and in Microsoft Azure Cloud (East US2 and Central US region). Each research facility contributes to the overall mission of the NCCOS Program Office along with unique partnerships and cooperatives

established to support and further strategic science goals. The physical and logical connections are managed through NOAA0550 (NOAA N-Wave) and NOAA6001 (NOS Enterprise Information System). All NOAA6301 research facilities are behind NOAA Trusted Internet Connections Access Provider (NOAA N-Wave). Virtual Routing & Forwarding (VRFs) allow for both the internet connections and private network connections, which is managed through NOAA6001 by NOAA0550. All NOAA6301 *on-premise* IT components exist behind firewalls or on firewalled networks. NOAA6301 IT components in Microsoft Azure Cloud are configured utilizing Azure identity management and networking offerings but are currently not TIC compliant (work in progress with NOAA N-Wave). NOS domain services are implemented entirely within the security boundary provided by NOAA6001. NOAA6301 follows the Firewall Policy as defined by NOAA6001. VPN services are provided by the NOAA0550 through the management of NOAA6001. Private IP address space is supported by network address translation. This level consists of devices which can initiate connections to outside networks. No public access to the private network is permitted. Direct inbound access from the Internet is not allowed. The public network is designed to support services that must be accessible to NOAA collaborators and partners outside the Trusted Private Network. All NOAA6301 applications and databases are hosted in Microsoft Azure Cloud utilizing Platform-as-a-Service (PaaS) deployment model. NOAA6301 Linux servers are hosted under NOAA0520 supported through physical and logical interconnections managed by NOAA0550. Just like other NOAA internal applications, NOAA1101 hosts the NOAA Grants Online System that NCCOS utilizes to manage Grants.

PII/BII in the IT system is collected, maintained, or disseminated only:

- For administrative matters
- For administering human resources programs
- For web measurement and customization technologies (multi-session)

BII would be collected as a part of pre/post acquisition activities and information extracted from *NOAA Grants Online (NOAA1101)* system to support NCCOS Grants Management Program. PII would be collected for administrative actions, for HR and Workforce management.

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f) A general description of the type of information collected, maintained, used, or disseminated by the system

Scientific Information – NCCOS collects, maintains and disseminates scientific information as a part of its mission activities to deliver ecosystem science solutions for stewardship of the

Nation's ocean and coastal resources to sustain thriving coastal communities and economies. The information helps to decide how best to protect environmental resources and public health, preserve valued habitats, and improve the way communities interact with coastal ecosystems. Imagery and spatial data is collected from the utilization of NOAA-approved *Uncrewed Aerial System (UAS)* for conducting coastal ecology research in remote areas with uneven topography and/or for measuring the performance of *Natural and Nature Based Features (NNBF)* such as salt marshes, nearshore subtidal habitats, emergent vegetation, elevation and nearshore vegetative communities. The data collected is reviewed as a part of post-flight procedures and any unintentional/accidental collection of PII is deleted immediately. NCCOS adheres to the privacy requirements established by *NOAA UAS Privacy Policy* at all times. No PII will be collected utilizing NOAA-approved UAS without prior notice covering the purpose of the collection and the use of identifiable information will be provided.

PII – Limited PII is collected, stored and maintained for internal COOP, Human Resources, Facility Management and Workforce Planning purposes (federal employee/contractor). Names, telephone numbers and email addresses voluntarily submitted by staff, partners, volunteers, and government and non-government collaborators is collected to facilitate internal and external communications and to facilitate business and collaborative functions. This is not a central collection, but rather separated by function or individual project or person. Information about individuals is gathered during the application and hiring process (electronic copies of resumes and hiring ranking are stored temporarily during the hiring phase), including standard HR information – travel authorization and vouchers, passports and international travel forms (completed by the employee through the travel portal), information for security badging process (contact information only and employee completes the badge application on paper forms which are taken to the *NOAA Office of Security*), and performance appraisal ranking. Information from video surveillance and building card readers is temporarily acquired as a part of facilities safety and security process/procedures is stored within NCCOS Facility Access Control Systems (ACS), accessible only to authorized Facility Managers, to support incident response and review process and is deleted immediately (if not related to any security incidents) after review. Just like DOC, NOAA and NOS internal/public-facing websites, NCCOS internal/public-facing websites also have photographs of NCCOS staff involved in research and/or educational programs/activities, voluntarily submitted with consent to serve a purpose, reviewed, verified and managed through NCCOS website content managers prior to publishing them on the websites. NCCOS staff can anytime request the removal/update of a photograph through NCCOS website content managers.

BII – NCCOS collects limited BII during the pre/post acquisition activities associated with the acquisition and management of contracts. The storage is in the form of PDF forms or MS Word documents. Information extracted from *NOAA Grants Online* (NOAA1101) system to support the *NCCOS Grants Management Program* is stored temporarily to facilitate the review process lifecycle. Although it is not the intent to extract sensitive PII from the *NOAA Grants Online* system, it is possible that the information could contain the *Employer Identification Number (EIN)*. The EIN is a non-mandatory field, which may be populated on the grants information made available by federal forms not managed by NCCOS. NOAA6301 does not collect this identifying information directly.

Note: There is *no* major application or database used to collect or store BII or PII. NCCOS does not have a separate HR division since NCCOS utilizes the *NOAA Office of Human Capital Services*. No PII or BII information, except photographs on public-facing NCCOS websites voluntarily submitted by the NCCOS staff with implied consent, is accessible to the public.

g) Identify individuals who have access to information on the system

Access to all information (including limited PII/BII) is stored on restricted access file storage available only to the specific employee(s) following principle of least privilege, separation of duties and on a need to know basis, by permissions settings and/or passwords. Any data stored on a laptop, is encrypted utilizing McAfee full device encryption. NOAA/NCCOS public-facing websites accessible to the general public provide information meant for public to use.

h) How information in the system is retrieved by the user

Access to all information (including limited PII/BII) is stored on restricted access file storage available only to the specific employee(s) following principle of least privilege, separation of duties and on a need to know basis, by permissions settings and/or passwords. Any data stored on a laptop, is encrypted utilizing full device encryption. NOAA/NCCOS public-facing websites accessible to the general public provide information meant for public to use.

i) How information is transmitted to and from the system

Scientific information is collected from scientific equipment, other government/non-government entities and partners and from the field. All information is scanned prior to being stored on restricted file storage and transmitted only using NOS/NOAA/DOC managed enterprise solutions (e.g., NOAA Google Suite, DOC Kiteworks, NOS File Storage, NOAA-managed FTP, NCCOS/NOAA Websites etc.).

As a part of the HR, Acquisition and Badging process sensitive information containing PII/BII is transmitted (only if needed) securely only to the concerned via DOC-managed secure file collaboration tool (*Kiteworks*).

Questionnaire:

1. Status of the Information System

1a. What is the status of this information system?

____ This is a new information system. *Continue to answer questions and complete certification.*

____ This is an existing information system with changes that create new privacy risks. *Complete chart below, continue to answer questions, and complete certification.*

Changes That Create New Privacy Risks (CTCNPR)					
a. Conversions		d. Significant Merging		g. New Interagency Uses	
b. Anonymous to Non-Anonymous		e. New Public Access		h. Internal Flow or Collection	
c. Significant System Management Changes		f. Commercial Sources		i. Alteration in Character of Data	
j. Other changes that create new privacy risks (specify): There hasn't been any changes that created new Privacy risks or changed the security posture of the NOAA6301 system in any way.					

___ This is an existing information system in which changes do not create new privacy risks, and there is not a SAOP approved Privacy Impact Assessment. *Continue to answer questions and complete certification.*

__X__ This is an existing information system in which changes do not create new privacy risks, and there is a SAOP approved Privacy Impact Assessment. *Continue to answer questions and complete certification.*

1b. Has an IT Compliance in Acquisitions Checklist been completed with the appropriate signatures?

____ Yes. This is a new information system.

____ Yes. This is an existing information system for which an amended contract is needed.

____ No. The IT Compliance in Acquisitions Checklist is not required for the acquisition of equipment for specialized Research and Development or scientific purposes that are not a National Security System.

__X__ No. This is not a new information system.

2. Is the IT system or its information used to support any activity which may raise privacy concerns?

NIST Special Publication 800-53 Revision 4, Appendix J, states "Organizations may also engage in activities that do not involve the collection and use of PII, but may nevertheless raise privacy concerns and associated risk. The privacy controls are equally applicable to those activities and can be used to analyze the privacy risk and mitigate such risk when necessary." Examples include, but are not limited

to, audio recordings, video surveillance, building entry readers, and electronic purchase transactions.

__X__ Yes. *(Check all that apply.)*

Activities			
Audio recordings		Building entry readers	X
Video surveillance	X	Electronic purchase transactions	
Other (specify): Unintentional/accidental collection of PII may occur during the utilization of NOAA-approved Uncrewed Aerial Systems (UAS) for NCCOS's coastal ecology research activity to collect imagery and spatial data in remote areas with uneven topography and/or for measuring the performance of Natural and Nature Based Features (NNBF). As a part of post-flight procedures, data collected is reviewed and PII if identified any is deleted immediately. NCCOS adheres to the privacy requirements established by *NOAA UAS Privacy Policy* at all times. Information from video surveillance and building card readers is temporarily acquired as a part of facilities safety and security process/procedures is stored within NCCOS Facility Access Control Systems (ACS), accessible only to authorized Facility Managers, to support incident response and review process and is deleted immediately (if not related to any security incidents) after review.			

____ No.

3. Does the IT system collect, maintain, or disseminate business identifiable information (BII)?

As per DOC Privacy Policy: "For the purpose of this policy, business identifiable information consists of (a) information that is defined in the Freedom of Information Act (FOIA) as "trade secrets and commercial or financial information obtained from a person [that is] privileged or confidential." (5 U.S.C.552(b)(4)). This information is exempt from automatic release under the (b)(4) FOIA exemption. "Commercial" is not confined to records that reveal basic commercial operations" but includes any records [or information] in which the submitter has a commercial interest" and can include information submitted by a nonprofit entity, or (b) commercial or other information that, although it may not be exempt from release under FOIA, is exempt from disclosure by law (e.g., 13 U.S.C.)."

__X__ Yes, the IT system collects, maintains, or disseminates BII.

____ No, this IT system does not collect any BII.

4. Personally Identifiable Information (PII)

4a. Does the IT system collect, maintain, or disseminate PII?

As per OMB 17-12: "The term PII refers to information that can be used to distinguish or trace an individual's identity either alone or when combined with other information that is linked or linkable to a specific individual."

__X__ Yes, the IT system collects, maintains, or disseminates PII about: *(Check all that apply.)*

__X__ DOC employees
__X__ Contractors working on behalf of DOC
__X__ Other Federal Government personnel
__X__ Members of the public

____ No, this IT system does not collect any PII.

If the answer is "yes" to question 4a, please respond to the following questions.

4b. Does the IT system collect, maintain, or disseminate Social Security numbers (SSNs), including truncated form?

____ Yes, the IT system collects, maintains, or disseminates SSNs, including truncated form.

Provide an explanation for the business need requiring the collection of SSNs, including truncated form.
Provide the legal authority which permits the collection of SSNs, including truncated form.

__X__ No, the IT system does not collect, maintain, or disseminate SSNs, including truncated form.

4c. Does the IT system collect, maintain, or disseminate PII other than user ID?

__X__ Yes, the IT system collects, maintains, or disseminates PII other than user ID.

____ No, the user ID is the only PII collected, maintained, or disseminated by the IT system.

4d. Will the purpose for which the PII is collected, stored, used, processed, disclosed, or disseminated (context of use) cause the assignment of a higher PII confidentiality impact level?

Examples of context of use include, but are not limited to, law enforcement investigations, administration of benefits, contagious disease treatments, etc.

____ Yes, the context of use will cause the assignment of a higher PII confidentiality impact level.

__X__ No, the context of use will not cause the assignment of a higher PII confidentiality impact level.

If any of the answers to questions 2, 3, 4b, 4c, and/or 4d are "Yes," a Privacy Impact Assessment (PIA) must be completed for the IT system. This PTA and the SAOP approved PIA must be a part of the IT system's Assessment and Authorization Package.

CERTIFICATION

__X__ The criteria implied by one or more of the questions above **apply** to the NOAA6301 and as a consequence of this applicability, a PIA will be performed and documented for this IT system.

_____ The criteria implied by the questions above **do not apply** to the NOAA6301 and as a consequence of this non-applicability, a PIA for this IT system is not necessary.

Information System Security Officer or System Owner Name: Rohit Munjal (ISSO) Office: NOAA/NOS/NCCOS Phone: 240-653-9036 Email: Rohit.Munjal@noaa.gov Signature: MUNJAL.ROHIT.1500946381 Digitally signed by MUNJAL.ROHIT.1500946381 Date: 2023.07.25 09:23:15 -04'00' Date signed:	**Information Technology Security Officer** Name: John D. Parker Office: NOAA/NOS Phone: 240-533-0832 Email: John.D.Parker@noaa.gov Signature: PARKER.JOHN.DARYL.1365835914 Digitally signed by PARKER.JOHN.DARYL.1365835914 Date: 2023.07.25 09:51:22 -04'00' Date signed:
Privacy Act Officer Name: Robin Burress Office: NOAA OCIO Phone: 828-271-4695 Email: Robin.Burress@noaa.gov Signature: BURRESS.ROBIN.SURRETT.1365847696 Digitally signed by BURRESS.ROBIN.SURRETT.1365847696 Date: 2023.07.27 08:05:04 -04'00' Date signed: 07/27/2023	**Authorizing Official** Name: Margo Schulze-Haugen Office: NOAA/NOS/NCCOS Phone: 240-569-0873 Email: Margo.Schulze-Haugen@noaa.gov Signature: SCHULZE HAUGEN.MARGO.BETH.1365815620 Digitally signed by SCHULZE HAUGEN.MARGO.BETH.1365815620 Date: 2023.07.25 16:22:55 -04'00' Date signed:
Bureau Chief Privacy Officer Name: Mark Graff Office: NOAA OCIO Phone: 301-628-5658 Email: Mark.Graff@noaa.gov Signature: GRAFF.MARK.HYRUM.1514447892 Digitally signed by GRAFF.MARK.HYRUM.1514447892 Date: 2023.08.08 07:05:12 -06'00' Date signed: 8/8/23	