

Small Business Administration

Privacy Impact Assessment

For

Technical Resource Network

September 9, 2005

Privacy Impact Assessment Authorization Memorandum

I have carefully assessed the Privacy Impact Assessment for the System. This document has been completed in accordance with the requirements of the E-Government Act of 2002.

MANAGEMENT CERTIFICATION – Please check the appropriate statement.

_____ The document is accepted.

_____ The document is accepted pending the changes noted.

_____ The document is not accepted.

_____ **We fully** accept the changes as needed improvements and authorize initiation of work to proceed. Based on our authority and judgment, the continued operation of this system is authorized.

System Manager

DATE

OCIO/Project Representative

DATE

Program/Office Head

DATE

OCIO

DATE

Chief FOI/PA

DATE

Senior Official for Privacy

DATE

Name of Project: Technical ResourceNetwork
Program Office: Office of Technology
Project's Unique ID:

A. CONTACT INFORMATION:

1. Who is the person completing this document? (Name, title, office and contact

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B SYSTEM APPLICATION/GENERAL INFORMATION:

1. Does this system contain any information about individuals? Yes.

The data collected for Tech-Net includes information about individuals. SBA receives the name of a business official, Principal Investigator, and for STTR awards, a research institution official. For each of the three categories, SBA asks participating agencies to provide the individual's name, title, phone number, and e-mail address.

(a) Is this information identifiable to the individual? Yes.

(b) Is this information about individual members of the public? Yes.

(c) Is the information about employees? Yes.

2. What are the purposes of the system/application?

TechNet is an online, searchable database of firms that successfully compete for Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) awards. It is a search engine for researchers, scientists, State, Federal and local government officials, a marketing tool for small firms and a potential "link" to investment opportunities for investors and other sources of capital. This system is required by Public Law 106-554.

TechNet is used as a search engine. It is a free service for those seeking small business partners, small business contractors and subcontractors, leading edge technology research, research partners (small businesses, universities, Federal labs and non-profit organizations).

Businesses profiled on the TechNet system can be searched by a variety of data elements such as; company name, state, agency, contract/grant award year, socially and economically disadvantaged ownership, woman ownership, etc.

3. What is the legal authority that authorizes the purchase or development of this system/application?

Public Law 106-554 authorized SBA to develop and maintain a database of SBIR and STTR awards. This database must be searchable, up-to-date, and available to the public.

C. DATA IN THE SYSTEM

1. What categories of individuals are covered in the system? (e.g., employees, and contractors)

The data in the Tech-Net system contains information about awards made to small businesses through the SBIR and STTR programs. This includes information about individuals who are business contact officials, principal investigators, or research institution officials who are associated with the research effort. The information collected about these individuals includes name, title, phone number and, e-mail address. SBA collects from the participating agencies the number of employees of each awardee, if available. The Tech-Net database also stores information about whether business is woman-owned or owned by individuals who are socially and economically disadvantaged. A field in Tech-Net is "EIN/TIN." This information is not available to the public because it could contain SSN information if the award was made to a sole proprietorship. This information is not available to public.

2. What are the sources of information in the system?

(a) Identify if the source of the information is from the individual or if it taken from another source. Identify the other source if not directly from the individual?

All Federal agencies that award SBIR and STTR grants or contracts (USDA, Department of Commerce, Department of Defense, Department of Energy, Department of Education Department of Health and Human Services, Department of Transportation, Department of Defense, Homeland Security, the Environmental Protection Agency, NASA, and the National Science Foundation.

(b) What other Federal agencies are providing data for use in the system?

(See response to 2(a) above)

(c) What State and local agencies are providing data for use in the system?

None

(d) What other third party sources data will be collected from?

None

(e) What information will be collected from the employee and the public?

The agencies will provide award information. The data that is specific to individuals includes business contact officials, principal investigators, or research institution officials who are associated with the research effort. The information collected about these individuals includes name, title, phone number and, e-mail address. SBA collects from the participating agencies the number of employees of each awardee, if available. The Tech-Net database also stores information about whether business is woman-owned or owned by individuals who are socially and economically disadvantaged. A field in Tech-Net is "EIN/TIN." This information is not available to the public because it could contain SSN information if the award was made to a sole proprietorship.

3. Accuracy, Timeliness, and Reliability

(a) How are accuracy, timeliness, and reliability documented?

The Federal agencies will verify the data prior to providing it to SBA. Public Laws 106-554 and 107-50 require participating agencies to report information about the awards made through the SBIR and STTR programs. Those Public Laws also require SBA to maintain an electronic, searchable, and up-to-date database of all awards made through the two programs.

(b) How will the data be checked for completeness?

Safeguards in the database and code prevent incomplete records from being added

(c) Is the data current?

- The record contains a last modified date

- Congress mandates that the agencies report 6 month after the close of the fiscal year
- SBIR staff will review data periodically

(d) What steps or procedures are taken to ensure the data is current and not out-of-date?

Office of Technology staff provides ongoing maintenance to ensure data is complete, correct, and up-to-date.

(e) Are the data elements described in detail and documented?

The legislation governing the Small Business Innovation Research (SBIR) program and the Small Business Technology Transfer (STTR) program, 106-554 and 107-50, respectively, describe the general requirements for the Tech-Net system. The SBIR and STTR Policy Directives also list what agencies are required to report to SBA

D. ATTRIBUTES OF THE DATA

1. Is the use of the data both relevant and necessary to the purpose for which the system is being designed?

Yes.

2. Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected, and how will this be maintained and filed?

No

3. Will the new data be placed in the individual's record?

No

4. Can the system make determinations about employees/public that would not be possible without the new data?

No

5. If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?

N/A

- 6. If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access? Explain.**

N/A

- 7. How will the data be retrieved? Does a personal identifier retrieve the data? If yes, explain and list the identifiers that will be used to retrieve information on the individual.**

The system is searchable by a number of fields including company name, state, agency, and year of award. It is also possible to search the system by keywords. The keyword search capability allows for searches across all fields including business official, principal investigator, and research institution official.

- 8. What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?**

Businesses profiled on the TechNet system contain information such as company name, state, agency, contract/grant award year, socially and economically disadvantaged ownership, woman ownership, etc. The keyword search capability allows for searches across all fields including business official, principal investigator, and research institution official. The default settings result in report out puts that report directly to the screen. Another setting for output is for the system to produce a tab delimited text file.

- 9. What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how individuals can grant consent.)**

N/A

E. MAINTENANCE AND ADMINISTRATIVE CONTROLS

- 1. If the system is operated in more than one site, how will consistent use of the system and data be maintained in all sites?**

One site only

- 2. What are the retention periods of data in this system?**

Public Laws 106-554 and 107-50 require that SBA maintain a database of all awards made through the SBIR and STTR programs. The first year of awards for the SBIR program was 1983, and the first year of awards for the STTR program was 1994. Therefore, the records in Tech-Net date back to 1983 for SBIR and 1994 for STTR. The records are retained indefinitely to remain responsive to the two pertinent laws.

3. What are the procedures for disposition of the data at the end of the retention period?

The records in Tech-Net will be retained indefinitely in order to be responsive to the legislation governing each program. Tech-Net is designed to be a complete database of awards made through the SBIR and STTR programs.

4. Is the system using technologies in ways not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?

No

5. How does the use of this technology affect public/employee privacy?

N/A

6. Will this system provide the capability to identify, locate, and monitor individuals? If yes, explain.

The users have Sybase accounts. The database administrators can, if necessary, monitor the activity. Also the web servers log all activity so information about people using the site is also captured. Also the OCIO Security staff monitors activity across all SBA systems.

7. What kinds of information are collected as a function of the monitoring of individuals?

OCIO's IT security team should be able to answer this question.

8. What controls will be used to prevent unauthorized monitoring?

OCIO's IT security team should be able to answer this question.

9. Under which Privacy Act systems of records notice does the system operate? Provide number and name.

N/A

10. If the system is being modified, will the Privacy Act system of records notice

require amendment or revision? Explain.

No

F. ACCESS TO DATA

1. Who will have access to the data in the system?

Users (Small Business), SBIR staff, participation agencies and System Administrators

2. How is access to the data by a user determined? Are criteria, procedures, controls, and responsibilities regarding access documented?

Specific SBA employees with responsibility for Tech-Net and the SBIR and STTR programs can update the system.

Agency representatives are given access rights to update the awards that their agency makes.

Public can view all award information resident in Tech-Net.

3. Will users have access to all data on the system or will the users' access be restricted? Explain.

Database System Administrators have database logins and passwords

Developers are restricted to access in Development Only

Public restricted to view capability only

Agencies restricted to their own portfolio

OT staff can view and update all records Access to this part of the system requires a user name and password.

4. What controls are in place to prevent the misuse (e.g. browsing) of data by those having access?

Users who can access data for the purposes of changing it are limited by their login and associated group rights. The search screens are design to provide access to parts of the data.

5. Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system?

No

6. Do other systems share data or have access to data in this system? If yes, explain.

No

- 7. Who will be responsible for protecting the privacy rights of the citizens, partners, clients, and employees affected by the interface?**

OCIO/OT

- 8. Will other agencies share data or have access to data in this system (International, Federal, State, Local, Other)?**

Agencies will have access to their own portfolio and can only view the awards made by another agency. The public may also search and view the records contained in the system.

- 9. How will the data be used by the Agency?**

Agencies are providing SBA with the information

- 10. Who is responsible for assuring proper use of the data?**

OT/OCIO