U.S. Department of Commerce
National Institute of Standards and Technology
(NIST)

Privacy Threshold Analysis
for the
Baldrige Performance Excellence Program (450-01)
U.S. Department of Commerce Privacy Threshold Analysis

National Institute of Standards and Technology (NIST)

Unique Project Identifier: 450-01

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 and its purpose: Provide a general description of the information system in a way that a non-technical person can understand.

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).

The Baldrige Performance Excellence Program (BPEP) oversees the nation’s only Presidential award for performance excellence while offering a wide array of award-winning products and services, including the world-renowned Baldrige Excellence Framework. The function/purpose of the system is to support the electronic needs and activities of the internal and external customers in support of this mission. Components of this system include the Baldrige Examiner Applicant (BEA), Baldrige Online Scorebook Solution (BOSS), and the Baldrige Secure On-line Ordering Application.

Another component supporting BPEP is contractual support for the Malcolm Baldrige National Quality Award (MBNQA) Award Cycle.

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

   450-01 is a general support system.

b) System location

   The system is located at the NIST Gaithersburg, Maryland facility within the continental United States. A component resides in a datacenter in Milwaukee, Wisconsin.

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

   The Baldrige system is a standalone system. Authorized users enter and retrieve data directly from the components in the system.

d) The purpose that the system is designed to serve
The purpose of 450-01 is for administrative matters. Specifically, the function/purpose of the system is to support the electronic needs and activities of the Baldrige Performance Excellence Program for internal and external customers. These activities include providing structured database access for NIST staff within NIST Infrastructure environment to information relevant to the processes related to the Baldrige team activities. Shared files and print services are available to staff members.

e) The way the system operates to achieve the purpose
Various significant components comprise the 450-01 parent system, these include: servers, web applications, managed clients, and social networking services. Thus, internal/external customer needs are met. A structured database for NIST staff within a NIST infrastructure environment is offered for the Baldrige team activities.

f) A general description of the type of information collected, maintained, use, or disseminated by the system
The system collects award applications, applications for individuals to be examiners, review information about award applications, and information needed to process orders for Baldrige materials.

g) Identify individuals who have access to information on the system
Baldrige employees and contractors, as well as individuals who have been selected to be Examiners and Judges, have role-based access to information in the system.

h) How information in the system is retrieved by the user
Users must authenticate to each system component. Access to information is restricted based on the user’s role.

i) How information is transmitted to and from the system
- BEA is a public-facing web application that allows potential Baldrige examiners (external users) to complete an online application. It also includes an internal portion that is used to administer the site and review the examiners.
- BOSS is a public-facing web application that allows examiners and judges to create and manage review of applicants throughout the award process.
- The Secure On-line Ordering Application provides external users with the ability to purchase Baldrige Performance Excellence Program Criteria online in a secure manner, with a secure protected view for BPEP staff.
- The component provided contractually provides management support, typesetting, printing, and distribution of program documents, Award Cycle Evaluation Stages (including receipt of eligibility and Award applications, Examiner assignments, scorebook checks, Judges’ meetings notebook preparation, and site visit logistics).
Questionnaire:

1. 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 |

   ___ 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.

   ___ This is an existing information system in which changes do not create new privacy risks, and there is a SAOP approved Privacy Impact Assessment (version 01-2015 or later). Skip questions and complete certification.

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.

   ___ Yes. Please describe the activities which may raise privacy concerns.

   ___ 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.).”

   ___ Yes, the IT system collects, maintains, or disseminates BII about: (Check all that apply.)

   ___ Companies

   ___ Other business entities
___ No, this IT system does not collect any BII.

4. Personally Identifiable Information

4a. Does the IT system collect, maintain, or disseminate personally identifiable information (PII)?

As per OMB 07-16, Footnote 1: “The term ‘personally identifiable information’ refers to information which can be used to distinguish or trace an individual’s identity, such as their name, social security number, biometric records, etc... alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother’s maiden name, etc...”

___ Yes, the IT system collects, maintains, or disseminates PII about: (Check all that apply.)
___ DOC employees
___ Contractors working on behalf of DOC
___ 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 PII other than user ID?

___ 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.

4c. 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.

___ 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, and/or 4c are “Yes,” a Privacy Impact Assessment (PIA) must be completed for the IT system. This PTA and the approved PIA must be a part of the IT system’s Assessment and Authorization Package.
CERTIFICATION

__X__ I certify the criteria implied by one or more of the questions above apply to the Baldrige Performance Excellence Program (450-01) and as a consequence of this applicability, I will perform and document a PIA for this IT system.

_____ I certify the criteria implied by the questions above do not apply to the Baldrige Performance Excellence Program (450-01) and as a consequence of this non-applicability, a PIA for this IT system is not necessary.

Name of System Owner (SO):
Jamie Ambrosi
Signature of SO: ____________________________ Date: ___________

Name of Information Technology Security Officer (ITSO):
K. Robert Glenn
Signature of ITSO: ____________________________ Date: ___________

Name of Co-Authorizing Official (AO):
Robert Fangmeyer
Signature of AO: ____________________________ Date: ___________

Name of Co-Authorizing Official (AO)/Bureau Chief Privacy Officer (BCPO):
Susannah Schiller, Acting
Signature of AO/BCPO: ____________________________ Date: ___________