



Privacy Impact Assessment (PIA)

PIA Entry Name: SBIR/STTR Proposal Submissions and Awards Management System, Business Intelligence, and Due Diligence

OCIO Application and Platform Services (APS) Service Line

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PURPOSE OF THE PRIVACY IMPACT ASSESSMENT

The National Aeronautics and Space Administration (NASA) Privacy Impact Assessment (PIA) documents and describes the personally identifiable information (PII) NASA collects and the purpose(s) for which it collects that information; how it uses the PII internally; whether it shares the PII with external entities, and the purposes for such sharing; whether individuals have the ability to consent to specific uses or sharing of PII and how to exercise any such consent; how individuals may obtain access to the PII; and how the PII will be protected. NASA publishes its PIAs, as well as its System of Records Notices (SORNs), on the NASA public-facing website, which describes NASA's activities that impact privacy, the authority for collecting personally identifiable information (PII), and the procedures to access and have PII amended or corrected if necessary.

Reviewing Official: Stayce Hoult, Chief Privacy Officer



System Overview:

NASA's Small Business Innovation Research and Small Business Technology Transfer (SBIR/STTR) Programs, under the Space Technology Mission Directorate (STMD), fund the research, development, and demonstration of innovative technologies that fulfill NASA needs as described in the annual Solicitations and have significant potential for successful commercialization. In order to participate, eligible Small Business Concerns (SBCs) must submit proposals in response to the annual NASA SBIR/STTR Solicitation. The NASA SBIR/STTR ProSAMS application supports the complete end-to-end paperless system for management of the SBIR/STTR programs ranging from solicitation development to contract administration processes. The Business Intelligence Application and Due Diligence Application are applications that support the SBIR/STTR program to provide data to the program and check to insure no foreign influence on the program.

Privacy / Authorities and Other Requirements	
List all legal authorities and/or agreements that permit the collection of privacy information by the project. Explain how these authorities permit the project and the collection of privacy information. If the project collects Social Security numbers, also identify the specific statutory authority allowing it.	Federal Acquisition Regulation (FAR) Subparts 4.11 and 52.204 and 2 CFR, Subtitle A, Chapter I, and Part 25, 40 U.S.C. 121(c) Authorities listed in NPR7500 Technology Transfer Requirements: This NPR applies to NASA Headquarters (HQ) and NASA Centers, including Component Facilities, Technical, and Service Support Centers. NASA HQ has overall responsibility for the Agency technology transfer activities as well as the local responsibility for technologies developed through HQ activities. Each NASA Center is responsible for conducting local technology transfer efforts in support of Agency-wide efforts, including use of common infrastructure and processes. a. Stevenson-Wydler Technology Innovation Act of 1980 - 15 U.S.C. § 3710 et seq., as amended, (P.L. 96-480). b. Bayh-Dole Act (P.L. 96-517) - 35 U.S.C. § 200 et seq., as amended. c. National Aeronautics and Space Act - 51 U.S.C § 20102. d. National Aeronautics and Space Act - 51 U.S.C. § 20113. e. Commercial Technology Transfer Program - 51 U.S.C. § 50116. f. Patent Waiver Regulations -14 CFR § 1245.1.

	<p>g. Rights to Inventions Made by Nonprofit Organizations and Small Business Firms under Government Grants, Contracts, and Cooperative Agreements - 37 CFR § 401.</p> <p>h. Licensing of Government Owned Inventions - 37 CFR § 404.</p> <p>i. Uniform Patent Policy for Rights in Inventions Made by Government Employees - 37 CFR § 501.</p> <p>j. NPD 1000.3 - The NASA Organization.</p> <p>k. NPD 9680.1 - Use and Authority of the Grant and Cooperative Agreement Manual (GCAM).</p> <p>l. NRRS 1441.1 - NASA Records Retention Schedules.</p>
The records in the system are covered by an existing published System of Records Notice (SORN).	SORN not required
The SORN Name and Number.	

Privacy Act of 1974 / Uses of the Information	
Records on individuals are or will be routinely retrieved from the system by using individual's name or other unique identifier (e.g., personal account number, UUPIC, SSN, etc. is used to locate information about an individual in the application/website/information system/paper record).	No

Paperwork Reduction Act / Characterization of the Information	
The record/application/website/information system collects information in a standard way (via forms, surveys, questionnaires, etc.) from 10 or more persons (e.g., members of the public and NASA contractors, and grantees).	Yes

Paperwork Reduction Act / Authorities and Other Requirements	
There is an OMB Control Number.	Yes
The OMB Control Number.	OMB 2700-0052 and it expires on 8/31/2027.

Privacy / Characterization of the Information	
Information is collected on the following:	<p>NASA Contractors</p> <p>Government Employees</p> <p>Members of the public (excluding contractors and partners)</p> <p>Business Partners/Contracts, Grantees (including,</p>

	but not limited to federal, state, local agencies) Contractors/Vendors/Suppliers
Collection contains the following:	Name Employment status and/or records Education records Other PII not listed above Work phone number Work cell phone number Work e-mail address Legal documents (divorce decree, criminal records, etc.) URL Work Mailing Address
The collection is the minimum necessary to accomplish the purpose of the collection.	Yes
Discuss the intra-Departmental sharing of information. Identify and list the name(s) of any components or directorates within the Department with which the information is shared.	There is no PII being shared with external Departments.

Privacy / Uses of the Information	
NASA will use the information in the following ways:	Validating small business awarded contracts.
The application/website/information system stores, collects, or maintains Information in Identifiable Form (IIF).	No

Consent / Notice	
Does the project provide individuals notice prior to the collection of information?	Yes
If no, explain why individuals are not notified prior to collection of information.	
If yes, describe how the notice provided for the collection of information is adequate to inform those impacted.	We are using the standard NASA privacy notice in the footer of the website. https://www.nasa.gov/about/highlights/HP_Privacy.html
Do individuals have opportunities to decline to provide information, or opt out of the project?	Yes
If yes, describe the process. If this is not an option, explain why not.	If users do not want to fill out required fields, they have the option to not submit a proposal.
Do individuals have opportunities to consent to specific/targeted uses of their information?	Yes
If yes, describe the process. If this is not an option, explain why not	There is a toggle for yes/no for the following question: Will you permit the Government to disclose the

	name, address, and telephone number of the business official of your small business concern, if your proposal does not result in an award, to appropriate local and State-level economic development organizations that may be interested in contacting you for further information?
The IIF is collected	Voluntary
There is a process in place for the following:	
Ensuring consent is obtained from the individuals whose IIF is stored, collected, or maintained.	Yes
Are individuals provided with notice that they have opportunities to consent to uses, decline to provide information, or opt out of the project?	Yes
If yes, describe the process. If no, explain why not.	If users do not want to fill out required fields, they have the option to not submit a proposal.
Are individuals notified of the consequences of providing information?	Yes
If yes, describe the process. If no, explain why not.	We are using the standard NASA privacy notice in the footer of the website. https://www.nasa.gov/about/highlights/HP_Privacy.h.tml

Data Retention	
Explain how long each type of information is retained. Include a justification for the retention period of each information type and how/why that period is necessary to the mission/project.	<p>Schedule 2: Legal and Technical Records</p> <ul style="list-style-type: none"> - Item: 02/006.0 - Temporary. Cut off after final action (non-selection, completion, termination) Destroy 3 years after cutoff [DAA-0255-2023- 0002] <p>In the context of the PII retained, it is stored in a secure database only accessible by those roles authorized and with the need to know in order to operate on the behalf to the federal government. PII information is required to ensure the company representatives are authenticated and is used to verify they are not foreign nationals nor have connections with sanctioned countries. The PII will only be stored for the duration the subject has an account within the ProSAMS system. When the user is terminated, the PII retained is deleted from the database.</p>

Information Sharing

Is information shared outside of the organization as part of the normal agency operations?	No
Identify who the information is shared with, how the information is accessed, and how it is to be used.	
Describe how the external sharing noted in the previous question is compatible with the SORN noted in PIA-02.	

Redress	
What are the procedures that allow individuals to access their information?	Information is available while logged into the application.
What procedures are in place to allow the subject individual to correct inaccurate or erroneous information?	Information can be updated as needed.
How does the project notify individuals about the procedures for correcting their information?	Help pop-ups, Frequently Asked Questions page and as part of solicitation guidance they are notified.

Auditing and Accountability	
How does the project ensure that the information is used in accordance with stated practices in this PIA?	We follow NPR 7120 and 7150 guidance. We built in zero trust controls into the application and perform continuous monitoring and self-assessments.
Describe what privacy training is provided to users either generally or specifically relevant to the project.	We require NASA users to take annual Cybersecurity and Privacy Awareness training in SATERN.
What procedures are in place to determine which users may access the information and how does the project determine who has access?	NAMS for NASA employees and external companies have a company PIN that is needed to access its data.
How does the project review and approve information sharing agreements, MOUs, new uses of the information, new access to the system by organizations within the department and outside?	For NAMS the standard approval workflow notifications apply. All other items are N/A.

Security Controls / Characterization of the Information	
Monitor and Response to privacy and/or security incidents policies.	Yes

Security Controls / Auditing and Accountability	
Technical controls (safeguards) are in place to minimize the possibility of unauthorized access, use,	Yes

or dissemination of the IIF in the application/ website/ information system/ cloud system.	
Access controls.	Yes

Information Sharing Practices / Characterization of Information	
The application/website/information system/cloud systems collects IIF from other resources (e.g., databases, websites).	No
The application/website/information system/cloud system populates data for other resources (e.g., databases, websites, or external agencies, people, or organizations).	Yes

Accessibility, Redress, Complaints / Characterization of the Information	
There is a process in place for periodic reviews of IIF in the system to ensure data integrity, availability, accuracy, and relevance.	Yes

Web Measurement and Customizing Technology / Characterization of the Information	
The Application/Website/Information System Utilizes Web Measurement and Customization Technology (Cookies/Persistent Tracking).	Yes

Agency Privacy Manager (APM):

Kostka, Paul A

Midulla, Laura P

Rucker, Anh-Hong N

APM Review Decision: Concur

APM Review Date: 11/07/2024

Chief Privacy Officer (CPO):

HARRIS HOULT, STAYCE D

CPO Review Decision: Concur

CPO Review Date: 03/03/2025

CPO Digital Signature

NASA Senior Agency Information Security Officer (SAISO):

Taylor, Kelvin L

SAISO Review Decision: Concur

SAISO Review Date: 03/14/2025

NASA Senior Agency Official for Privacy (SAOP):

Gallagher, Sean M

SAOP Review Decision: Approve

SAOP Review Date: 03/31/2025