

## Section 1: GENERAL HIPAA AND PRIVACY RULES

### 1.8 Breach Notification for Privacy Violations Appendix C: NSF

#### BACKGROUND

1. National Science Foundation (NSF) funded research must comply with the NSF Research Terms and Conditions (effective March 1, 2018).
2. An institution, like UF, may be awarded a NSF funded research grant or contract.
3. The NSF Research Terms and Conditions, Article 35, set requirements for reporting breaches of PII within the scope of an NSF award.

#### POLICY

1. Grantees that use or operate a Federal information system shall protect Personally Identifiable Information (PII) created, collected, used, processed, stored, maintained, disseminated, disclosed, or disposed of within the scope of an NSF award.
2. As necessary and appropriate, UF shall take action to mitigate any adverse effect(s) of improper or unauthorized, access, use, or disclosure of Personally Identifiable Information (PII).
3. Breach of PII:
  - a. Grantees must have procedures must be in place to respond to a breach of PII;
  - b. These procedures should promote cooperation and exchange of information with NSF to properly escalate, refer and respond to a breach;
  - c. Grantees will notify NSF upon learning that a breach of PII with the scope of an NSF award has occurred.

#### DEFINITIONS

1. **Breach:** means any unauthorized disclosure, misuse, alteration, destruction or other compromise of information.
2. **Personally Identifiable Information (PII):** means information which can be used to distinguish or trace the identity of an individual (name, social security number, driver's license number, passport number, biometric records, etc.) alone, or when combined with other personal or identifying information, which is linked or linkable to a specific individual (date and place of birth, mother's maiden name, etc.).

#### REQUIREMENTS

1. Reporting Breaches: Any suspected or known breach of PII that occurs within the context of an NSF supported research grant or contract, shall be reported immediately to the UF Privacy Office.
2. Notification to the National Science Foundation:
  - a. After determining that a breach of PII has occurred, UF shall immediately report the breach of PII to the NSF.

- b. The Privacy Office, with assistance from the grantee and the Division of Sponsored Programs, shall cooperate with and provide assistance, as required, to the NSF in responding to the breach.

#### REFERENCES

1. National Science Foundation: Research, Terms & Conditions Agency Specific Requirements, Article 35 (Effective March 1, 2018) [NSF RTC ASR March 2018.](#)
2. [UF Regulations: 1.0103 Policies on Restricted Data](#)

#### EXHIBITS

None