

Privacy Impact Assessment Form

v 1.47.4

Status

Form Number

Form Date

Question

Answer

1 OPDIV:

2 PIA Unique Identifier:

2a Name:

3 The subject of this PIA is which of the following?

- General Support System (GSS)
 Major Application
 Minor Application (stand-alone)
 Minor Application (child)
 Electronic Information Collection
 Unknown

3a Identify the Enterprise Performance Lifecycle Phase of the system.

3b Is this a FISMA-Reportable system?

- Yes
 No

4 Does the system include a Website or online application available to and for the use of the general public?

- Yes
 No

5 Identify the operator.

- Agency
 Contractor

6 Point of Contact (POC):

POC Title POC Name POC Organization POC Email POC Phone

7 Is this a new or existing system?

- New
 Existing

8 Does the system have Security Authorization (SA)?

- Yes
 No

8b Planned Date of Security Authorization

 Not Applicable

9 Indicate the following reason(s) for updating this PIA. Choose from the following options.

<input checked="" type="checkbox"/> PIA Validation (PIA Refresh/Annual Review)	<input type="checkbox"/> Significant System Management Change
<input type="checkbox"/> Anonymous to Non-Anonymous	<input type="checkbox"/> Alteration in Character of Data
<input type="checkbox"/> New Public Access	<input type="checkbox"/> New Interagency Uses
<input type="checkbox"/> Internal Flow or Collection	<input type="checkbox"/> Conversion
<input type="checkbox"/> Commercial Sources	

10 Describe in further detail any changes to the system that have occurred since the last PIA.

None

11 Describe the purpose of the system.

Q-Video is a digitized video/audio application that supports the Questionnaire Design Research Laboratory (QDRL) staff in their analysis of survey questions for the purpose of reduction of response error in surveys. The application captures, stores, and indexes the video and audio of a test interview in a digitized database for the purpose of searching and analysis by QDRL researchers.

12 Describe the type of information the system will collect, maintain (store), or share. (Subsequent questions will identify if this information is PII and ask about the specific data elements.)

Information collected and stored are:
Interview locations, dates and times;
Project Name/Description/Scope;
~~Principal Investigator and Interviewer names;~~

13 Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily.

Q-Video is a digitized video/audio application that supports the QDRL staff in their analysis of survey questions for the purpose of reduction of response error in surveys. The

14 Does the system collect, maintain, use or share PII?

Yes
 No

15 Indicate the type of PII that the system will collect or maintain.

<input type="checkbox"/> Social Security Number	<input type="checkbox"/> Date of Birth
<input type="checkbox"/> Name	<input checked="" type="checkbox"/> Photographic Identifiers
<input type="checkbox"/> Driver's License Number	<input checked="" type="checkbox"/> Biometric Identifiers
<input type="checkbox"/> Mother's Maiden Name	<input type="checkbox"/> Vehicle Identifiers
<input type="checkbox"/> E-Mail Address	<input type="checkbox"/> Mailing Address
<input type="checkbox"/> Phone Numbers	<input type="checkbox"/> Medical Records Number
<input type="checkbox"/> Medical Notes	<input type="checkbox"/> Financial Account Info
<input type="checkbox"/> Certificates	<input type="checkbox"/> Legal Documents
<input type="checkbox"/> Education Records	<input type="checkbox"/> Device Identifiers
<input type="checkbox"/> Military Status	<input type="checkbox"/> Employment Status
<input type="checkbox"/> Foreign Activities	<input type="checkbox"/> Passport Number
<input type="checkbox"/> Taxpayer ID	

Gender

Principal Investigator Name and Interviewer name (both of which are published by CDC in the project's Final Report)

Race

Meta Notes

16 Indicate the categories of individuals about whom PII is collected, maintained or shared.

Employees
 Public Citizens
 Business Partners/Contacts (Federal, state, local agencies)
 Vendors/Suppliers/Contractors
 Patients
 Other

17 How many individuals' PII is in the system?

18 For what primary purpose is the PII used?

19 Describe the secondary uses for which the PII will be used (e.g. testing, training or research)

20 Describe the function of the SSN.

20a Cite the **legal authority** to use the SSN.

21 Identify **legal authorities** governing information use and disclosure specific to the system and program.

22 Are records on the system retrieved by one or more PII data elements? Yes No

23 Identify the sources of PII in the system.

Directly from an individual about whom the information pertains

In-Person
 Hard Copy: Mail/Fax
 Email
 Online
 Other

Government Sources

Within the OPDIV
 Other HHS OPDIV
 State/Local/Tribal
 Foreign
 Other Federal Entities
 Other

Non-Government Sources

Members of the Public
 Commercial Data Broker
 Public Media/Internet
 Private Sector
 Other

23a Identify the OMB information collection approval number and expiration date.

24 Is the PII shared with other organizations?

Yes

No

25 Describe the process in place to notify individuals that their personal information will be collected. If no prior notice is given, explain the reason.

All prospective participants in a QDRL test project are formally recruited and screened by the QDRL Laboratory Manager and QDRL staff. The entire screening process is scripted with questions and available choice of answers. If a prospective participant fits the project criteria, they are asked to take part in the project/study. They are informed of the location of the project/study and specifics about the study subject matter and questions. They are also informed about the nature and steps of the interview process. They are told the reason for the study. They are told that their participation in the study and their answers will help QDRL find out if the survey questions will be easy for other people to answer. They are informed that everything they say will be kept private. They are also told that with their permission, the QDRL staff would like to video record their interview. They are informed that the video provides a record of what was asked of them and what their answers were. They are asked if they give their permission for QDRL staff to video record their interview. If they answer no they are asked if they will give permission to audio record their interview. If they answer no the participant is not included in the project/study. If they answer yes to having their interview either the video or audio recorded the actual schedule for their interview is set.

Participants read and sign the Assurance of Confidentiality and Informed Consent Form prior to the start of their interview. There are five alternative attachments to cover the various consent situations. The form states that participation is voluntary, they are free to terminate the interview at any time, and if they do so they will still receive full payment for their participation. The participant may also be asked to sign the Special consent for Expanded Use of Video and Audio Recordings Form. The purpose of this form is to allow for the playing of videos at conferences, meetings, or in the classroom to illustrate particular findings from cognitive interviewing. Participants are provided a copy of the forms signed which includes contact information for the QDRL Laboratory Manager and staff, The NCHS ERB Chair, and the NCHS Confidentiality Officer. At the close of the interview the participant may also be asked to sign the Special Consent Document to Send Video and Audio Recordings to Off-site Researchers working on the project so that they may also view or listen to the recording.

26 Is the submission of PII by individuals voluntary or mandatory?

Voluntary

Mandatory

27 Describe the method for individuals to opt-out of the collection or use of their PII. If there is no option to object to the information collection, provide a reason.

Prospective participants are asked if they give their permission for QDRL staff to video record their interview. If they answer no they are asked if they will give permission to audio record their interview. If they answer no the participant is not included in the project/study. If they answer yes to having their interview either the video or audio recorded the actual schedule for their interview is set.

<p>28 Describe the process to notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of original collection). Alternatively, describe why they cannot be notified or have their consent obtained.</p>	<p>If major changes are made to the system, the Consent Notice would be modified to advise of those changes.</p>										
<p>29 Describe the process in place to resolve an individual's concerns when they believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate. If no process exists, explain why not.</p>	<p>Individuals should contact the the Division of Health Interview Statistics within CDC/NCHS. When contacting, they should reasonably identify the record, specify the information being contested, and state the corrective active sought, with supporting information to show how the record is inaccurate, incomplete, untimely, or irrelevant.</p>										
<p>30 Describe the process in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy and relevancy. If no processes are in place, explain why not.</p>	<p>The PII review process is conducted with each project. Not only is PII reviewed, the entire project is reviewed with each new project. The project owner (requesting Survey or organization) and QDRL determine the scope of the project, the targeted demographics, and the questions to be tested, the number of participants, etc. Each project is then submitted to OMB and ERB for review and approval to proceed. They review the entire project, not just the PII, but all aspects of the project. They may or may not require changes to the project and they give the final approval to conduct the project</p>										
<p>31 Identify who will have access to the PII in the system and the reason why they require access.</p>	<table border="1"> <tr> <td data-bbox="727 905 951 1024"> <input checked="" type="checkbox"/> Users </td> <td data-bbox="951 905 1412 1024"> All data needs to be available to factor into their analysis and write their reports. </td> </tr> <tr> <td data-bbox="727 1024 951 1182"> <input checked="" type="checkbox"/> Administrators </td> <td data-bbox="951 1024 1412 1182"> Conducts basic system administration functions, including system backups, data storage and raid management, trouble shooting, etc. </td> </tr> <tr> <td data-bbox="727 1182 951 1367"> <input checked="" type="checkbox"/> Developers </td> <td data-bbox="951 1182 1412 1367"> Develops, manages and maintains the system. As part of maintaining Q-Video the contractor indexes all video data and builds the video database for searching. </td> </tr> <tr> <td data-bbox="727 1367 951 1619"> <input checked="" type="checkbox"/> Contractors </td> <td data-bbox="951 1367 1412 1619"> Contractors perform in a range of duties and labor categories that require PII access. They recruit respondents, conduct interviews, operate the Lab and record the interviews as well as provide technical and programming support. </td> </tr> <tr> <td data-bbox="727 1619 951 1688"> <input type="checkbox"/> Others </td> <td data-bbox="951 1619 1412 1688"> </td> </tr> </table>	<input checked="" type="checkbox"/> Users	All data needs to be available to factor into their analysis and write their reports.	<input checked="" type="checkbox"/> Administrators	Conducts basic system administration functions, including system backups, data storage and raid management, trouble shooting, etc.	<input checked="" type="checkbox"/> Developers	Develops, manages and maintains the system. As part of maintaining Q-Video the contractor indexes all video data and builds the video database for searching.	<input checked="" type="checkbox"/> Contractors	Contractors perform in a range of duties and labor categories that require PII access. They recruit respondents, conduct interviews, operate the Lab and record the interviews as well as provide technical and programming support.	<input type="checkbox"/> Others	
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<p>32 Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.</p>	<p>Role Based Access Control (RBAC) procedures are used to ensure that only those individuals having a need to access PII in the course of their job roles and responsibilities are given access.</p>										
<p>33 Describe the methods in place to allow those with access to PII to only access the minimum amount of information necessary to perform their job.</p>	<p>In employing RBAC, the Least Privileged model is utilized to ensure that those with access to PII can access only the minimal amount of data required to perform their job duties.</p>										

34 Identify training and awareness provided to personnel (system owners, managers, operators, contractors and/or program managers) using the system to make them aware of their responsibilities for protecting the information being collected and maintained.	All CDC personnel are required to undergo Security and Privacy Awareness training on an annual basis.	
35 Describe training system users receive (above and beyond general security and privacy awareness training).	None	
36 Do contracts include Federal Acquisition Regulation and other appropriate clauses ensuring adherence to privacy provisions and practices?	<input checked="" type="radio"/> Yes <input type="radio"/> No	
37 Describe the process and guidelines in place with regard to the retention and destruction of PII. Cite specific records retention schedules.	The governing Records Schedule is N1-442-09-1, item 1 (). Accordingly, records are retained and disposed of in accordance with the CDC Records Control Schedule for NCHS records. Original survey records are reviewed for accuracy, edited, and data (without personal identifiers such as name or Social Security number) are transferred to computer files. The original records are retained in locked office files of NCHS until the process of conversion to computer tape and verification of information is completed.	
38 Describe, briefly but with specificity, how the PII will be secured in the system using administrative, technical, and physical controls.	Video and Audio recordings on the Q-Video system are located on a secure QDRL internal LAN to which access is limited. The LAN has no outside connectivity or any connectivity to any other network or LAN, including the CDC network and the internet. The Q-Video system is located in a locked area and access is limited and with secured password entry. All archived data are stored in a locked room and electronic data is secured by a password. Data that includes personal information (such as names and addresses) are also stored in a locked room (not on, or part of the Q-Video System and separate from the QDRL Laboratory).	
General Comments		
OPDIV Senior Official for Privacy Signature		