



## PRIVACY THRESHOLD ANALYSIS (PTA)

**This form serves as the official determination by the DHS Privacy Office to identify the privacy compliance requirements for all Departmental uses of personally identifiable information (PII).**

A Privacy Threshold Analysis (PTA) serves as the document used to identify information technology (IT) systems, information collections/forms, technologies, rulemakings, programs, information sharing arrangements, or pilot projects that involve PII and other activities that otherwise impact the privacy of individuals as determined by the Chief Privacy Officer, pursuant to Section 222 of the Homeland Security Act, and to assess whether there is a need for additional Privacy Compliance Documentation. A PTA includes a general description of the IT system, information collection, form, technology, rulemaking, program, pilot project, information sharing arrangement, or other Department activity and describes what PII is collected (and from whom) and how that information is used and managed.

Please complete the attached Privacy Threshold Analysis and submit it to your component Privacy Office. After review by your component Privacy Officer the PTA is sent to the Department's Senior Director for Privacy Compliance for action. If you do not have a component Privacy Office, please send the PTA to the DHS Privacy Office:

Senior Director, Privacy Compliance  
The Privacy Office  
U.S. Department of Homeland Security  
Washington, DC 20528  
Tel: 202-343-1717

[PIA@hq.dhs.gov](mailto:PIA@hq.dhs.gov)

Upon receipt from your component Privacy Office, the DHS Privacy Office will review this form and assess whether any privacy compliance documentation is required. If compliance documentation is required – such as Privacy Impact Assessment (PIA), System of Records Notice (SORN), Privacy Act Statement, or Computer Matching Agreement (CMA) – the DHS Privacy Office or component Privacy Office will send you a copy of the relevant compliance template to complete and return.



## Privacy Threshold Analysis (PTA)

### *Specialized Template for Information Collections (IC) and Forms*

The Forms-PTA is a specialized template for Information Collections and Forms. This specialized PTA must accompany all Information Collections submitted as part of the Paperwork Reduction Act process (any instrument for collection (form, survey, questionnaire, etc.) from ten or more members of the public). Components may use this PTA to assess internal, component-specific forms as well.

<b>Form Number:</b>	CG-706B		
<b>Form Title:</b>	Official Logbook		
<b>Component:</b>	U.S. Coast Guard (USCG)	<b>Office:</b>	National Maritime Center (NMC)

#### IF COVERED BY THE PAPERWORK REDUCTION ACT:

<b>Collection Title:</b>	Official Logbook		
<b>OMB Control Number:</b>	1625-0018	<b>OMB Expiration Date:</b>	October 31, 2018
<b>Collection status:</b>	Revision	<b>Date of last PTA (if applicable):</b>	N/A

#### PROJECT OR PROGRAM MANAGER

<b>Name:</b>	Michael P. Toth		
<b>Office:</b>	NMC 4-1	<b>Title:</b>	Branch Chief
<b>Phone:</b>	304-433-3729	<b>Email:</b>	Michael.P.Toth2@uscg.mil

#### COMPONENT INFORMATION COLLECTION/FORMS CONTACT

<b>Name:</b>	Anthony Smith		
<b>Office:</b>	CG-612	<b>Title:</b>	PRA Manager
<b>Phone:</b>	202-473-3532	<b>Email:</b>	Anthony.D.Smith@uscg.mil



## SPECIFIC IC/Forms PTA QUESTIONS

### 1. Purpose of the Information Collection or Form

The Official Logbook contains information about the voyage, the vessel’s crew, drills, watches, and operations conducted during the voyage. The logbook entries identify particulars of the voyage, including the name of the vessel, the official number, port of registry, tonnage, nature of the voyage, class of vessel, and the names and merchant mariner reference numbers of the master and the crew. In addition, it also contains entries for the vessel’s draft, maintenance of water tight integrity of the ship, drills and inspections, crew list and report of character, a summary of laws applicable to Official Logbooks, and miscellaneous entries.

The authorities for this collection are Title 46 United States Code (U.S.C.) § 11301, 11302, 11303, and 11304; Title 46 Code of Federal Regulations (CFR) § 42.07-20; 46 CFR Subpart 35.07; 46 CFR Subpart 78.37; 46 CFR Subpart 97.35; 46 CFR § 109.431-109.433; 46 CFR § 122.280-122.282; 46 CFR § 131.610-131.630; 46 CFR § 169.841; 46 CFR 185.280; 46 CFR Subpart 196.35-3; and 46 CFR Part 199 Subpart B § 199.60-199.190.

### 2. Describe the IC/Form

a. Does this form collect any Personally Identifiable Information” (PII <sup>1</sup> )?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. From which type(s) of individuals does this form collect information? (Check all that apply.)	<input checked="" type="checkbox"/> Members of the public <input checked="" type="checkbox"/> U.S. citizens or lawful permanent residents <input type="checkbox"/> Non-U.S. Persons.  <input type="checkbox"/> DHS Employees <input type="checkbox"/> DHS Contractors <input checked="" type="checkbox"/> Other federal employees or contractors.
c. Who will complete and submit this form? (Check all that apply.)	<input type="checkbox"/> The record subject of the form (e.g., the individual applicant). <input type="checkbox"/> Legal Representative (preparer, attorney, etc.). <input type="checkbox"/> Business entity.

<sup>1</sup> Personally identifiable information means any information that permits the identity of an individual to be directly or indirectly inferred, including any other information which is linked or linkable to that individual regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department.



	<p>If a business entity, is the only information collected business contact information?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Law enforcement.</p> <p><input type="checkbox"/> DHS employee or contractor.</p> <p><input checked="" type="checkbox"/> Other individual/entity/organization <b>that is NOT the record subject.</b> <i>Please describe.</i></p> <p>Pursuant to 46 U.S.C. § 11301, the master of the vessel shall make the entries in the official logbook. Pursuant to 46 U.S.C. § 11302, each entry made in the official logbook shall be signed by the master, and signed and witnessed by the chief mate or another mariner aboard the vessel.</p>
<p>d. How do individuals complete the form? <i>Check all that apply.</i></p>	<p><input checked="" type="checkbox"/> Paper.</p> <p><input type="checkbox"/> Electronic. (ex: fillable PDF)</p> <p><input type="checkbox"/> Online web form. (available and submitted via the internet)</p> <p><i>Provide link:</i></p>
<p>e. What information will DHS collect on the form?</p>	
<p>Master's name, master's Merchant Mariner Credential (MMC) number, mariners' name, and the mariners' MMC number.</p>	
<p>f. Does this form collect Social Security number (SSN) or other element that is stand-alone Sensitive Personally Identifiable Information (SPII)? No</p> <p><i>Check all that apply.</i></p>	
<p><input type="checkbox"/> Social Security number</p> <p><input type="checkbox"/> Alien Number (A-Number)</p> <p><input type="checkbox"/> Tax Identification Number</p> <p><input type="checkbox"/> Visa Number</p> <p><input type="checkbox"/> Passport Number</p> <p><input type="checkbox"/> Bank Account, Credit Card, or other financial account number</p> <p><input type="checkbox"/> Other. <i>Please list:</i></p>	<p><input type="checkbox"/> DHS Electronic Data Interchange Personal Identifier (EDIPI)</p> <p><input type="checkbox"/> Social Media Handle/ID</p> <p><input type="checkbox"/> Known Traveler Number</p> <p><input type="checkbox"/> Trusted Traveler Number (Global Entry, Pre-Check, etc.)</p> <p><input type="checkbox"/> Driver's License Number</p> <p><input type="checkbox"/> Biometrics</p>



g. List the <i>specific authority</i> to collect SSN or these other SPII elements.	
N/A	
h. How will this information be used? What is the purpose of the collection? Describe <i>why</i> this collection of SPII is the minimum amount of information necessary to accomplish the purpose of the program.	
N/A	
i. Are individuals provided notice at the time of collection by DHS ( <i>Does the records subject have notice of the collection or is form filled out by third party</i> )?	<input type="checkbox"/> Yes. Please describe how notice is provided. <a href="#">Click here to enter text.</a> <input checked="" type="checkbox"/> No.

3. How will DHS store the IC/form responses?	
a. How will DHS store the original, completed IC/forms?	<input checked="" type="checkbox"/> Paper. Please describe. The Official Logbook is to be sent to the U.S. Coast Guard Sector Officer In Charge Marine Inspection (OCMI) at the nearest port to the vessel's place of discharge. In accordance with our records retention schedule, the OCMI shall transfer official logbook records to the nearest Federal Records Center (FRC) within six months after the last transaction. Records shall then be transferred to the National Archives and Records Administration (NARA) when 30 years old for permanent storage.  <input type="checkbox"/> Electronic. Please describe the IT system that will store the data from the form. <a href="#">Click here to enter text.</a>



	<input type="checkbox"/> Scanned forms (completed forms are scanned into an electronic repository). Please describe the electronic repository. <a href="#">Click here to enter text.</a>
<p>b. If electronic, how does DHS input the responses into the IT system?</p>	<input type="checkbox"/> Manually (data elements manually entered). Please describe. <a href="#">Click here to enter text.</a> <input type="checkbox"/> Automatically. Please describe. <a href="#">Click here to enter text.</a>
<p>c. How would a user search the information submitted on the forms, <i>i.e.</i>, how is the information retrieved?</p>	<input type="checkbox"/> By a unique identifier. <sup>2</sup> <i>Please describe.</i> If information is retrieved by personal identifier, please submit a Privacy Act Statement with this PTA. <a href="#">Click here to enter text.</a> <input checked="" type="checkbox"/> By a non-personal identifier. <i>Please describe.</i> The information is retrieved by vessel name and/or the vessel's official number.
<p>d. What is the records retention schedule(s)? <i>Include the records schedule number.</i></p>	Official Logbook records are Permanent. Transfer records to a Federal Records Center (FRC) within six months after the last transaction. Records shall then be transferred to the National Archives and Records Administration (NARA) when 30 years old for permanent storage.  Records Disposition Authority SF-115 NARA job Number NC1-26-80-4, item 237.
<p>e. How do you ensure that records are disposed of or deleted in accordance with the retention schedule?</p>	N/A - Records are permanent.

<sup>2</sup> Generally, a unique identifier is considered any type of "personally identifiable information," meaning any information that permits the identity of an individual to be directly or indirectly inferred, including any other information which is linked or linkable to that individual regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department.



f. Is any of this information shared outside of the original program/office? *If yes, describe where (other offices or DHS components or external entities) and why. What are the authorities of the receiving party?*

Yes, information is shared with other DHS components or offices. Please describe.  
Click here to enter text.

Yes, information is shared *external* to DHS with other federal agencies, state/local partners, international partners, or non-governmental entities. Please describe.  
Click here to enter text.

No. Information on this form is not shared outside of the collecting office.



**Please include a copy of the referenced form and Privacy Act Statement (if applicable) with this PTA upon submission.**



## PRIVACY THRESHOLD REVIEW

### (TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

Component Privacy Office Reviewer:	Robert Herrick
Date submitted to component Privacy Office:	July 11, 2018
Date submitted to DHS Privacy Office:	August 30, 2018
Have you approved a Privacy Act Statement for this form? ( <i>Only applicable if you have received a waiver from the DHS Chief Privacy Officer to approve component Privacy Act Statements.</i> )	<input type="checkbox"/> Yes. Please include it with this PTA submission. <input checked="" type="checkbox"/> No. Please describe why not. The information is not retrieved by a personal identifier.
<b>Component Privacy Office Recommendation:</b>	
<p>The Official Logbook form contains information about the voyage, the vessel’s crew, drills, watches, and operations conducted during the voyage. The logbook entries identify particulars of the voyage, including the name of the vessel, the official number, port of registry, tonnage, nature of the voyage, class of vessel, and the names and merchant mariner reference numbers of the master and the crew. In addition, it also contains entries for the vessel’s draft, maintenance of water tight integrity of the ship, drills and inspections, crew list and report of character, a summary of laws applicable to Official Logbooks, and miscellaneous entries.</p> <p>The form collects the following information: master’s name, master’s Merchant Mariner Credential (MMC) number, mariners’ name, and the mariners’ MMC number.</p> <p>DHS/USCG/PIA-015 Merchant Mariner Licensing and Documentation System and DHS/USCG-030 Merchant Seamen’s Records provide coverage for this collection.</p>	





## PRIVACY THRESHOLD ADJUDICATION

**(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)**

DHS Privacy Office Reviewer:	<b>Riley Dean</b>
PCTS Workflow Number:	Click here to enter text.
Date approved by DHS Privacy Office:	August 31, 2018
PTA Expiration Date	August 31, 2021

### DESIGNATION

Privacy Sensitive IC or Form:	<b>Yes If “no” PTA adjudication is complete.</b>
Determination:	<input type="checkbox"/> PTA sufficient at this time. <input type="checkbox"/> Privacy compliance documentation determination in progress. <input type="checkbox"/> New information sharing arrangement is required. <input type="checkbox"/> DHS Policy for Computer-Readable Extracts Containing SPII applies. <input type="checkbox"/> Privacy Act Statement required. <input checked="" type="checkbox"/> Privacy Impact Assessment (PIA) required. <input type="checkbox"/> System of Records Notice (SORN) required. <input type="checkbox"/> Specialized training required. <input type="checkbox"/> Other. Click here to enter text.
DHS IC/Forms Review:	Choose an item.
Date IC/Form Approved by PRIV:	Click here to enter a date.
IC/Form PCTS Number:	Click here to enter text.
Privacy Act Statement:	<b>e(3) statement not required.</b> Click here to enter text.
PTA:	Choose an item. Click here to enter text.



PIA:	<p><b>System covered by existing PIA</b></p> <p>If covered by existing PIA, please list: DHS/USCG/PIA-015 Merchant Mariner Licensing and Documentation System</p> <p>If a PIA update is required, please list: <a href="#">Click here to enter text.</a></p>
SORN:	<p>Choose an item.</p> <p>If covered by existing SORN, please list: <a href="#">Click here to enter text.</a></p> <p>If a SORN update is required, please list: <a href="#">Click here to enter text.</a></p>
<p>DHS Privacy Office Comments:</p> <p><i>Please describe rationale for privacy compliance determination above.</i></p>	
<p><b>USCG is submitting this PTA to discuss the Official Logbook, Form CG 706B, which is associated with OMB Control Number 1625-0018. USCG is tasked with the commercial vessel safety program. As part of this tasking, USCG requires applicable merchant vessels to maintain an Official Logbook which provides a vehicle through which many statutory and regulatory record keeping requirements are maintained.</b></p> <p><b>The Official Logbook contains information about the voyage, the vessel’s crew, drills, watches, and operations conducted during the voyage. The logbook entries identify particulars of the voyage, including the name of the vessel, the official number, port of registry, tonnage, nature of the voyage, class of vessel, and the names and merchant mariner reference numbers of the master and the crew. In addition, it also contains entries for the vessel’s draft, maintenance of water tight integrity of the ship, drills and inspections, crew list and report of character, a summary of laws applicable to Official Logbooks, and miscellaneous entries.</b></p> <p><b>The Official Logbook is signed by the master of the vessel and then signed by a witness on board. It is then sent to the USCG Sector Officer In Charge Marine Inspection (OCMI) at the nearest port to the vessel’s place of discharge. The form collects the following information: master’s name, master’s Merchant Mariner Credential (MMC) number, mariners’ name, and the mariners’ MMC number.</b></p> <p><b>The DHS Privacy Office finds that this form is privacy-sensitive, requiring PIA coverage.</b></p> <p><b>PIA coverage is provided by DHS/USCG/PIA-015 Merchant Mariner Licensing and Documentation System. SORN coverage is not technically required as the information is collected and therefore not retrieved by a unique identifier. However,</b></p>	



**Homeland  
Security**

Privacy Office  
U.S. Department of Homeland Security  
Washington, DC 20528  
202-343-1717, pia@hq.dhs.gov  
[www.dhs.gov/privacy](http://www.dhs.gov/privacy)

**DHS/USCG-030 Merchant Seamen's Records does provide notice of this type of information collection. Additionally, a Privacy Act Statement is not required.**