



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

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.

Form Number:	N/A		
Form Title:	N/A		
Component:	U.S. Coast Guard (USCG)	Office:	CG-REG

IF COVERED BY THE PAPERWORK REDUCTION ACT:

Collection Title:	Security Zones, Regulated Navigation Areas, and Safety Zones		
OMB Control Number:	1625-0020	OMB Expiration Date:	October 31, 2021
Collection status:	Extension	Date of last PTA (if applicable):	October 3, 2017

PROJECT OR PROGRAM MANAGER

Name:	Mr. David Du Pont		
Office:	CG-REG	Title:	Reg Dev Mgr
Phone:	202-372-1497	Email:	David.A.DuPont@uscg.mil

COMPONENT INFORMATION COLLECTION/FORMS CONTACT

Name:	A.L. Craig		
Office:	CG-6P	Title:	PRA Coordinator
Phone:	202-475-3528	Email:	Albert.L.Craig@uscg.mil



SPECIFIC IC/Forms PTA QUESTIONS

1. Purpose of the Information Collection or Form

a. Describe the purpose of the information collection or form.

The U.S. Coast Guard (USCG) is renewing Information Collection Request (ICR) titled, 1625-0020: Security Zones, Regulated Navigation Areas, and Safety Zones.

Title 46 U.S. Code (U.S.C.) 70034 and 70051 authorize the USCG Captain of the Port (COTP) to designate security zones in the U.S. for as long as the COTP deems necessary to prevent damage or injury. 46 U.S.C. 70001 authorizes the USCG to prescribe rules to control vessel traffic in areas he or she deems hazardous because of reduced visibility, adverse weather, or vessel congestion. 46 U.S.C. 70011 authorizes the USCG to establish rules to allow the designation of safety zones where access is limited to authorized persons, vehicles, or vessels to protect the public from hazardous situations. Coast Guard regulations for these areas are in 33 CFR part 165.

The collection is used by the Coast Guard to evaluate a Federal, State, local government agency, or owner/operator of a vessel or facility request to establish a Security Zone, Regulated Navigation Area or Safety Zone. If appropriate, a zone is established and advertised via Federal Register publication.

There is no form associated with this collection. The information may be submitted in writing or electronically via e-mail to the USCG District Commander (DC) or Captain of the Port (COTP) at the local Sector Office. Contact info for a DC or COTP is found at—<https://www.uscg.mil/Units/Organization/>. The records that the Coast Guard receive are maintained in Marine Information for Safety and Law Enforcement (MISLE) database.

The record contains basic business contact information which may include the name and address of an individual.

b. List the DHS (or Component) authorities to collect, store, and use this information.

The authority for this collection is 46 U.S. Code 70001, 70011, 70034 and 70051.

Records are maintained per NARA retention schedule number: N1-026-05-015.



2. Describe the IC/Form	
a. Does this form collect any Personally Identifiable Information” (PII ¹)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. From which type(s) of individuals does this form collect information? <i>(Check all that apply.)</i>	<input checked="" type="checkbox"/> Members of the public <ul style="list-style-type: none"> <input checked="" type="checkbox"/> U.S. citizens or lawful permanent residents <input checked="" type="checkbox"/> Non-U.S. Persons <input type="checkbox"/> DHS Employees/Contractors (list Components) <input type="checkbox"/> Other federal employees or contractors
c. Who will complete and submit this form? <i>(Check all that apply.)</i>	<input checked="" type="checkbox"/> The record subject of the form (e.g., the individual applicant). <input type="checkbox"/> Legal Representative (preparer, attorney, etc.). <input checked="" type="checkbox"/> Business entity. If a business entity, is the only information collected business contact information? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Law enforcement. <input type="checkbox"/> DHS employee/contractor. <input type="checkbox"/> Other individual/entity/organization that is NOT the record subject. <i>Please describe.</i> Click here to enter text.
d. How do individuals complete the form? <i>Check all that apply.</i>	<input checked="" type="checkbox"/> Paper. <input checked="" type="checkbox"/> Electronic. (ex: fillable PDF) <input type="checkbox"/> Online web form. (available and submitted via the internet) <i>Provide link:</i>

¹ 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.



e. What information will DHS collect on the form?	
The request (i.e., record) contains basic business contact information which may include the name and address of an individual.	
f. Does this form collect Social Security number (SSN) or other element that is stand-alone Sensitive Personally Identifiable Information (SPII)? No.	
<input type="checkbox"/> Social Security number <input type="checkbox"/> Alien Number (A-Number) <input type="checkbox"/> Tax Identification Number <input type="checkbox"/> Visa Number <input type="checkbox"/> Passport Number <input type="checkbox"/> Bank Account, Credit Card, or other financial account number <input type="checkbox"/> Other. <i>Please list:</i>	<input type="checkbox"/> DHS Electronic Data Interchange Personal Identifier (EDIPI) <input type="checkbox"/> Social Media Handle/ID <input type="checkbox"/> Known Traveler Number <input type="checkbox"/> Trusted Traveler Number (Global Entry, Pre-Check, etc.) <input type="checkbox"/> Driver's License Number <input type="checkbox"/> Biometrics
g. List the specific authority to collect SSN or these other SPII elements.	
N/A	
h. Is SSN necessary to carry out the functions of this form and/or fulfill requirements of the information collection? <i>Note:</i> even if you are properly authorized to collect SSNs, you are required to use an alternative identifier. If there are technological, legal, or regulatory limitations to eliminating the SSN, privacy-enhancing alternatives should be taken, such as truncating the SSN.	
N/A	
i. How will this information be used? What is the purpose of the collection?	
The collection is used by the Coast Guard to evaluate a Federal, State, local government agency, or owner/operator of a vessel or facility request to establish a Security Zone, Regulated Navigation Area or Safety Zone. If appropriate, a zone is established and advertised via Federal Register publication.	
j. Are individuals provided notice at the time of collection by DHS (<i>Does the records</i>	<input type="checkbox"/> Yes. Please describe how notice is provided. Click here to enter text. <input checked="" type="checkbox"/> No.



<p><i>subject have notice of the collection or is form filled out by third party)?</i></p>	
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3. How will DHS store the IC/form responses?

<p>a. How will DHS store the original, completed IC/forms?</p>	<p><input type="checkbox"/> Paper. Please describe. Click here to enter text.</p> <p><input type="checkbox"/> Electronic. Please describe the IT system that will store the data from the form. Click here to enter text.</p> <p><input checked="" type="checkbox"/> Scanned forms (completed forms are scanned into an electronic repository). Please describe the electronic repository. The records that the Coast Guard receive are maintained in Marine Information for Safety and Law Enforcement (MISLE) database.</p>
<p>b. If electronic, how does DHS input the responses into the IT system?</p>	<p><input checked="" type="checkbox"/> Manually (data elements manually entered). Please describe. A scanned record is uploaded to the port-specific files in MISLE.</p> <p><input type="checkbox"/> Automatically. Please describe. Click here to enter text.</p>
<p>c. How would a user search the information submitted on the forms, <i>i.e.</i>, how is the information retrieved?</p>	<p><input type="checkbox"/> By a unique identifier.² <i>Please describe.</i> If information is retrieved by personal identifier, please submit a Privacy Act Statement with this PTA. Click here to enter text.</p> <p><input checked="" type="checkbox"/> By a non-personal identifier. <i>Please describe.</i> A search is conducted using port-specific information.</p>

² 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.



d. What is the records retention schedule(s)? <i>Include the records schedule number.</i>	A record is retained for the life of the zone; NARA retention schedule number N1-026-05-015.
e. How do you ensure that records are disposed of or deleted in accordance with the retention schedule?	As records are maintained in the MISLE database, disposal/deletion is in accordance with the business rules for the database.
f. Is any of this information shared outside of the original program/office? <i>If yes, describe where (other offices or DHS components or external entities) and why. What are the authorities of the receiving party?</i>	
<input type="checkbox"/> Yes, information is shared with other DHS components or offices. Please describe. Click here to enter text. <input checked="" type="checkbox"/> Yes, information is shared <i>external</i> to DHS with other federal agencies, state/local partners, international partners, or non-governmental entities. Please describe. Approved requests are published in the Federal Register. The Federal Register notice contains only area-specific information, not PII. <input type="checkbox"/> 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:	A.L. Craig
Date submitted to Component Privacy Office:	April 12, 2021
Concurrence from other Components involved (if applicable):	N/A
Date submitted to DHS Privacy Office:	April 22, 2021
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. Information is not retrieved by a personal identifier.
Component Privacy Office Recommendation: <i>Please include recommendation below, including what existing privacy compliance documentation is available or new privacy compliance documentation is needed.</i>	
<p>The U.S. Coast Guard (USCG) is renewing Information Collection Request (ICR) titled, 1625-0020: Security Zones, Regulated Navigation Areas, and Safety Zones.</p> <p>Title 46 U.S. Code (U.S.C.) 70034 and 70051 authorize the USCG Captain of the Port (COTP) to designate security zones in the U.S. for as long as the COTP deems necessary to prevent damage or injury. 46 U.S.C. 70001 authorizes the USCG to prescribe rules to control vessel traffic in areas he or she deems hazardous because of reduced visibility, adverse weather, or vessel congestion. 46 U.S.C. 70011 authorizes the USCG to establish rules to allow the designation of safety zones where access is limited to authorized persons, vehicles, or vessels to protect the public from hazardous situations. Coast Guard regulations for these areas are in 33 CFR part 165.</p> <p>The collection is used by the Coast Guard to evaluate a Federal, State, local government agency, or owner/operator of a vessel or facility request to establish a Security Zone,</p>	



Regulated Navigation Area or Safety Zone. If appropriate, a zone is established and advertised via Federal Register publication.

There is no form associated with this collection.

The records the Coast Guard receive are maintained in Marine Information for Safety and Law Enforcement (MISLE) database and contains basic business contact information which may include the name and address of an individual.

This information collection is privacy sensitive with coverage provided by DHS/USCG/PIA-008 Marine Information for Safety and Law Enforcement (MISLE).



PRIVACY THRESHOLD ADJUDICATION

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

DHS Privacy Office Reviewer:	Kattina Do
DHS Privacy Office Approver (if applicable):	Max Binstock
PCTS Workflow Number:	0017096
Date approved by DHS Privacy Office:	April 22, 2021
PTA Expiration Date	April 22, 2024

DESIGNATION

Privacy Sensitive IC or Form:	Yes If "no" PTA adjudication is complete.
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.
Privacy Act Statement:	Choose an item. Click here to enter text.
System PTA:	Choose an item. Click here to enter text.
PIA:	System covered by existing PIA If covered by existing PIA, please list: <ul style="list-style-type: none"> DHS/USCG/PIA-008 Marine Information for Safety and Law Enforcement (MISLE) If a PIA update is required, please list: Click here to enter text.
SORN:	Choose an item. If covered by existing SORN, please list: Click here to enter text.



If a SORN update is required, please list: Click here to enter text.

DHS Privacy Office Comments:

Please describe rationale for privacy compliance determination above.

USCG is submitting this renewal PTA to discuss Security Zones, Regulated Navigation Areas, and Safety Zones. The purpose is to authorize the USCG Captain of the Port (COTP) to designate security zones in the U.S. for as long as the COTP deems necessary to prevent damage or injury, authorizes the USCG to prescribe rules to control vessel traffic in areas he or she deems hazardous because of reduced visibility;, adverse weather; or vessel congestion, and authorizes the USCG to establish rules to allow the designation of safety zones where access is limited to authorized persons, vehicles, or vessels to protect the public from hazardous situations. The collection is used by the Coast Guard to evaluate a Federal, State, local government agency, or owner/operator of a vessel or facility request to establish a Security Zone, Regulated Navigation Area or Safety Zone. If appropriate, a zone is established and advertised via Federal Register publication. There is no form associated with this collection. The information may be submitted in writing or electronically via e-mail to the USCG District Commander (DC) or Captain of the Port (COTP) at the local Sector Office. Contact info for a DC or COTP is found at—<https://www.uscg.mil/Units/Organization/>. The records that the Coast Guard receive are maintained in Marine Information for Safety and Law Enforcement (MISLE) database.

The record contains basic business contact information which may include the name and address of an individual.

The DHS Privacy Office (PRIV) agrees that this form is privacy-sensitive, requiring PIA coverage because PII is collected from members of the public.

PRIV agrees with USCG Privacy that PIA coverage is provided by DHS/USCG/PIA-008 MISLE, which outlines the risks of capturing information required to support the Coast Guard’s marine safety, security, environmental protection and law enforcement programs.

PRIV agrees with USCG Privacy that SORN coverage is not required because information is not retrieved by a personal identifier.