

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

11 Describe the purpose of the system.

The system provides State health departments in all 50 states, the District of Columbia, Puerto Rico, and the territories the ability to enter data about enteric disease outbreaks caused by food, water, animal contact, person-to-person contact, and the environment.

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.)

The system captures aggregate information about an outbreak. This includes information about the mode of transmission, implicated foods, symptoms, etc. Additionally, the system captures the name of the reporting agency, the name of the agency point of contact, their title, Phone number, fax number, and email address. The name of both the form author and the report author is also collected. The system does store the individuals user id and password to perform user identification and authentication for authorized users. CDC users are authenticated using Active Directory (AD) and AD has it's own PIA.

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

The DFWED OES system is a web application with a database backend. This system provides the ability for states to enter data about enteric disease outbreaks. The system captures aggregate information about an outbreak. This includes information about the mode of transmission, implicated foods, symptoms, etc. The system captures the name of the reporting agency, the name of the agency point of contact, their title, phone number, fax number, and email address. The name of both the form author and the report author is also collected. The system does store the individuals user id and password to perform user identification and authentication for authorized users.

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 checked="" type="checkbox"/> Name | <input type="checkbox"/> Photographic Identifiers |
| <input type="checkbox"/> Driver's License Number | <input type="checkbox"/> Biometric Identifiers |
| <input type="checkbox"/> Mother's Maiden Name | <input type="checkbox"/> Vehicle Identifiers |
| <input checked="" type="checkbox"/> E-Mail Address | <input type="checkbox"/> Mailing Address |
| <input checked="" 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 | |

Name of Agency
 User ID
 Password
 Fax Number

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. | 0920-1105 Expiration: 03/31/2022 |
| 24 Is the PII shared with other organizations? | <input type="radio"/> Yes <input checked="" type="radio"/> 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. | <p>The outbreak form asks for the Agency contact information. This serves as the notice that their personal information will be collected.</p> <p>When a user requests access to the system, the program determines the need for access, and if access is granted the individual is advised that they will access the system using their user id and other pertinent information to complete the identity, authentication, and access process.</p> |
| 26 Is the submission of PII by individuals voluntary or mandatory? | <input checked="" type="radio"/> Voluntary <input type="radio"/> 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. | <p>There is no process in place for the reporting agency to not give their contact information. This information is needed to follow up with the agency to clarify or answer questions about their submission.</p> <p>If the individual does not want to have the system store their user id they may chose not to have access to the system.</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>The reporting agencies would be provided adequate notification by the program prior to any major change to the system. This would not affect whether they provide their contact information as that information is needed to clarify or answer questions about their outbreak submission.</p> <p>Although changes to the system will not affect the individuals user id, each user can be notified via email when major changes occur to the system.</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>The individual can contact the point of contact listed on this document, either by phone or email, concerning any questions or concerns when they believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate.</p> <p>The individual is notified by the system administrator as part of the access request process that their user id will be needed to set up an access account. Individuals with concerns about their PII can contact the point of contact on this document to resolve any identified issues.</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>The Agency PII is reviewed each time the agency makes an outbreak report. The phone number and email are confirmed when used to obtain clarification or answers to questions. There is no formal process in place for periodic review since the only time the data will be used is when the agency submits a new outbreak report, at which time, they will submit their current information.</p> <p>The individual user PII is reviewed for integrity, availability, accuracy and relevance each time a user logs into the system, their user id is checked as part of the identification and authentication process. If the user is unable to log in, they will contact the system administrator to find out why the system does not allow them to login. If the user is transferred their user id is disabled in the system.</p> | | | | | | | | | | |
| 31 | Identify who will have access to the PII in the system and the reason why they require access. | <table border="1"> <tr> <td data-bbox="737 638 948 722"><input checked="" type="checkbox"/> Users</td> <td data-bbox="964 596 1403 722">Agency contact information is needed to obtain clarification or answer questions concerning a submitted outbreak report.</td> </tr> <tr> <td data-bbox="737 743 948 869"><input checked="" type="checkbox"/> Administrators</td> <td data-bbox="964 743 1403 869">Direct Contractors are the system administrators. They have access to User Information to verify access to the system.</td> </tr> <tr> <td data-bbox="737 869 948 932"><input type="checkbox"/> Developers</td> <td data-bbox="964 869 1403 932"></td> </tr> <tr> <td data-bbox="737 953 948 1079"><input checked="" type="checkbox"/> Contractors</td> <td data-bbox="964 953 1403 1079">Direct Contractors are the system administrators. They have access to User Information to verify access to the system.</td> </tr> <tr> <td data-bbox="737 1079 948 1136"><input type="checkbox"/> Others</td> <td data-bbox="964 1079 1403 1136"></td> </tr> </table> | <input checked="" type="checkbox"/> Users | Agency contact information is needed to obtain clarification or answer questions concerning a submitted outbreak report. | <input checked="" type="checkbox"/> Administrators | Direct Contractors are the system administrators. They have access to User Information to verify access to the system. | <input type="checkbox"/> Developers | | <input checked="" type="checkbox"/> Contractors | Direct Contractors are the system administrators. They have access to User Information to verify access to the system. | <input type="checkbox"/> Others | |
| <input checked="" type="checkbox"/> Users | Agency contact information is needed to obtain clarification or answer questions concerning a submitted outbreak report. | | | | | | | | | | | |
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| <input checked="" type="checkbox"/> Contractors | Direct Contractors are the system administrators. They have access to User Information to verify access to the system. | | | | | | | | | | | |
| <input type="checkbox"/> Others | | | | | | | | | | | | |
| 32 | Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII. | <p>The program first evaluates whether the individual has a need for access to the system. If the individual's manager determines that access to the system is required for the individual to perform their regular duties, they will make a request to the system administrator who will establish an account for the user to access the system.</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>Least privilege, Role Based Access Control methods are used to allow those with access to PII to only access the minimum amount of information necessary to perform their job. The system administrator is responsible for setting up the user access to the system based on the CDC user id and the permissions assigned to it.</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. | <p>Annual CDC Security Awareness Training (SAT) is mandatory for all CDC system users. Non-Organizational users are required to complete their annual Security Awareness Training. Failure to complete the training by the specified date will result in the individuals user id being revoked.</p> | | | | | | | | | | |
| 35 | Describe training system users receive (above and beyond general security and privacy awareness training). | <p>Annual Role Based Security Training for IT Administrators.</p> | | | | | | | | | | |

36 Do contracts include Federal Acquisition Regulation and other appropriate clauses ensuring adherence to privacy provisions and practices? Yes No

37 Describe the process and guidelines in place with regard to the retention and destruction of PII. Cite specific records retention schedules.
The CDC General Records Schedule (GRS) 20.2 is applicable to this system. Data is input by user via webform. No output of data; the data is used only online for security administration of access. Data is retained as long as it is needed and is disposed of when no longer needed.

38 Describe, briefly but with specificity, how the PII will be secured in the system using administrative, technical, and physical controls.
Administrative - access to the application is approved by the individuals supervisor indicating that the user has a need to know the information on the system.
Technical- The CDC user id is encrypted while stored in the system.
Physical- The server is housed on CDC property with security guards at the entrances to the property and in each building, individual user access credentials are required for each non-public building , floor, and office. Closed circuit TV is also used by the security guards to check for and grant access to authorized individuals.

General Comments
Q10: System name change from National Outbreak Reporting System (NORS) to DFWED Outbreak_Event Surveillance (DFWED OES)

OPDIV Senior Official for Privacy Signature