

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

<p>11 Describe the purpose of the system.</p>	<p>The Message Validation, Processing, and Provisions System (MVPS) is a multifaceted public health disease surveillance system that gives public health officials powerful capabilities to monitor the occurrence and spread of diseases. Facets of MVPS will be used by numerous state, territorial, tribal, and local health departments; and by partner organizations, such as the Council of State and Territorial Epidemiologists (CSTE).</p> <p>The primary goal of MVPS is to develop a common infrastructure for public health agencies that allows the Federal, state, and local level public health agencies to store and exchange data using a common set of business procedures, metadata, and capabilities that can be defined from the start.</p>	
<p>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.)</p>	<p>MVPS contains patient (case) contact data: Names, mailing address, email addresses, phone numbers, Citizenship/ Nationality, medical notes, DOB, Sex/ Race, county, marital status and census tract.</p> <p>External Users access the system via CDC's Secure Access Management System (SAMS) the authentication platform for external non-CDC users, and internal users via CDC's Active Directory. Active Directory and SAMS are separate systems covered by separate PIAs.</p>	
<p>13 Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily.</p>	<p>The primary goal of MVPS is to develop a common infrastructure for public health agencies that allows the Federal, state, and local level public health agencies to store and exchange data using a common set of business procedures, metadata, and capabilities that can be defined from the start and not be introduced ad-hoc.</p> <p>The MVPS system is a message processing system. Messages are received and are then validated.</p> <p>MVPS contains patient (case) contact data: Names, mailing address, email addresses, phone numbers, Citizenship/ Nationality, medical notes, DOB, Sex/ Race, county, marital status and census tract.</p> <p>External Users access the system via CDC's Secure Access Management System (SAMS) the authentication platform for external non-CDC users, and internal users via CDC's Active Directory. Active Directory and SAMS are separate systems covered by separate PIAs.</p>	
<p>14 Does the system collect, maintain, use or share PII?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	

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

<input type="checkbox"/> Social Security Number	<input checked="" 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 checked="" type="checkbox"/> Mailing Address
<input checked="" type="checkbox"/> Phone Numbers	<input type="checkbox"/> Medical Records Number
<input checked="" 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	

Citizenship/Nationality
Race/Sex
County
Census Tract
Marital Status

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.

No prior notice is given by CDC because MVPS does not collect information directly from any individuals. The actual collection of MVPS data is done by participating state public health agencies. As the original collectors of data, obtaining consent from individuals and notifying individuals about data collection and use are the responsibility of those participating agencies.

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.

The MVPS platform is a "downstream" recipient of data that has already been collected by healthcare agencies at the point of service in their healthcare facilities; individuals requesting to opt-out must do so according to the policies and procedures in place at those facilities.

<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>The MVPS platform does not have a process to obtain consent from or notify individuals about data collection and use. MVPS is a "downstream" recipient of data that has already been collected by healthcare agencies at the point of service in their healthcare facilities; obtaining consent from and notification of individuals about data use is the responsibility of the agencies that collect it. As a public health authority, the healthcare agencies can exchange the information with CDC to perform health activities without obtaining the individual's consent.</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>The MVPS system does not have a process in place to work with individuals regarding concerns about their PII stored in the system because the records in the system are not collected by CDC. Further consent, notification, and such interactions are conducted between individuals and the healthcare agencies collecting the PII, and are out of scope of the MVPS project and system and individuals would have to contact their local public health authority to express their concerns.</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>There is an annual review process between the MVPS program and the sending jurisdictions to reconcile and confirm the integrity of case data sent from participating healthcare agencies and data received by the MVPS system. This is conducted with each participating agency at least once every 365 days, and can be done more frequently if a need to do so is determined.</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="727 961 951 1052"> <input checked="" type="checkbox"/> Users </td> <td data-bbox="951 961 1414 1052"> Access for data analysis, reporting activities. </td> </tr> <tr> <td data-bbox="727 1052 951 1142"> <input checked="" type="checkbox"/> Administrators </td> <td data-bbox="951 1052 1414 1142"> General access for management of system resources and users. </td> </tr> <tr> <td data-bbox="727 1142 951 1213"> <input type="checkbox"/> Developers </td> <td data-bbox="951 1142 1414 1213"> </td> </tr> <tr> <td data-bbox="727 1213 951 1285"> <input type="checkbox"/> Contractors </td> <td data-bbox="951 1213 1414 1285"> </td> </tr> <tr> <td data-bbox="727 1285 951 1356"> <input type="checkbox"/> Others </td> <td data-bbox="951 1285 1414 1356"> </td> </tr> </table>	<input checked="" type="checkbox"/> Users	Access for data analysis, reporting activities.	<input checked="" type="checkbox"/> Administrators	General access for management of system resources and users.	<input type="checkbox"/> Developers		<input type="checkbox"/> Contractors		<input type="checkbox"/> Others	
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<input type="checkbox"/> Others											
<p>32 Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.</p>	<p>MVPS program management review, on a case-by-case basis, which system users may access PII. The decision is based on the users' job requirements consistent with Role-Based 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>Users are given access according to their jurisdiction and/or program only has access to that information after proofing and approval. The data steward oversees the approval process and determines who get access to the information he or she is responsible for. The least Privileged model is used for all access grants, and enforced with row-level security in the database.</p>										
<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>	<p>All CDC personnel are required to take annual Privacy and Security Awareness Training (SAT).</p>										

35 Describe training system users receive (above and beyond general security and privacy awareness training).

All CDC personnel are required acknowledge HHS Rules of Behavior annually during the SAT.

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.

MVPS data is kept by the CDC as a historical public health record, per CDC's "Scientific and Research Project Records Control Schedule", section 1a ("Authorized Disposition: PERMANENT"). Records Schedule N1-442-09-1. Disposal methods include erasing computer tapes, burning or shredding paper materials or transferring records to the Federal Records Center when no longer needed for evaluation and analysis.

38 Describe, briefly but with specificity, how the PII will be secured in the system using administrative, technical, and physical controls.

Administrative:
Users are assigned roles and privileges depending on their job requirements. MVPS program management approves all CDC user access on a case-by-case basis according to the least-privilege principle. MVPS program management also vets and approves access for non-CDC users ("Jurisdictional" Users and Data Managers) also according the principle of least privilege.

Technical:
MVPS data is protected by restricting access to two points: via CDC's Secure Access Management System (SAMS) the authentication platform for external non-CDC users, and via CDC's Active Directory infrastructure for internal CDC users. Once authenticated, users' access to system PII is limited by Role-Based Access Control (RBAC) features built into the MVPS platform. System data is also protected by firewalls, intrusion detection systems, anti-malware systems, and encryption methods provided by CDC's Applied Hosting Branch.

Physical Controls:
Production and test servers are stored in a server room secured by the CDC. Access tools are in place to secure entry into CDC buildings (Guards, ID Badges, Key Card, Cipher Locks, Closed Circuit TV).

General Comments

OPDIV Senior Official for Privacy Signature