

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 Quarantine Activity Reporting System (QARS) is owned and operated by the CDC's Division of Global Migration and																										
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.)	QARS is an internal CDC system for collecting data on individuals subject to quarantine or isolation orders, ill travelers (i.e., passengers and crew), contacts of ill travelers, and/or individuals exposed or suspected of being exposed to																										
13 Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily.	QARS maintains records on the conduct of activities (e.g., quarantine, isolation) that fulfills the Department of Health and Human Services (HHS)'s and CDC's statutory authority under																										
14 Does the system collect, maintain, use or share PII?	<input checked="" type="radio"/> Yes <input type="radio"/> No																										
15 Indicate the type of PII that the system will collect or maintain.	<table border="0"><tr><td><input type="checkbox"/> Social Security Number</td><td><input checked="" type="checkbox"/> Date of Birth</td></tr><tr><td><input checked="" type="checkbox"/> Name</td><td><input type="checkbox"/> Photographic Identifiers</td></tr><tr><td><input type="checkbox"/> Driver's License Number</td><td><input type="checkbox"/> Biometric Identifiers</td></tr><tr><td><input type="checkbox"/> Mother's Maiden Name</td><td><input checked="" type="checkbox"/> Vehicle Identifiers</td></tr><tr><td><input checked="" type="checkbox"/> E-Mail Address</td><td><input checked="" type="checkbox"/> Mailing Address</td></tr><tr><td><input checked="" type="checkbox"/> Phone Numbers</td><td><input type="checkbox"/> Medical Records Number</td></tr><tr><td><input checked="" type="checkbox"/> Medical Notes</td><td><input type="checkbox"/> Financial Account Info</td></tr><tr><td><input type="checkbox"/> Certificates</td><td><input type="checkbox"/> Legal Documents</td></tr><tr><td><input type="checkbox"/> Education Records</td><td><input type="checkbox"/> Device Identifiers</td></tr><tr><td><input checked="" type="checkbox"/> Military Status</td><td><input type="checkbox"/> Employment Status</td></tr><tr><td><input type="checkbox"/> Foreign Activities</td><td><input checked="" type="checkbox"/> Passport Number</td></tr><tr><td><input type="checkbox"/> Taxpayer ID</td><td></td></tr><tr><td>Foreign Travel</td><td></td></tr></table>	<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 checked="" 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 checked="" type="checkbox"/> Military Status	<input type="checkbox"/> Employment Status	<input type="checkbox"/> Foreign Activities	<input checked="" type="checkbox"/> Passport Number	<input type="checkbox"/> Taxpayer ID		Foreign Travel	
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<input checked="" type="checkbox"/> Medical Notes	<input type="checkbox"/> Financial Account Info																										
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16 Indicate the categories of individuals about whom PII is collected, maintained or shared.	<table border="0"><tr><td><input type="checkbox"/> Employees</td></tr><tr><td><input checked="" type="checkbox"/> Public Citizens</td></tr><tr><td><input type="checkbox"/> Business Partners/Contacts (Federal, state, local agencies)</td></tr><tr><td><input type="checkbox"/> Vendors/Suppliers/Contractors</td></tr><tr><td><input type="checkbox"/> Patients</td></tr><tr><td>Other <input type="text"/></td></tr></table>	<input type="checkbox"/> Employees	<input checked="" type="checkbox"/> Public Citizens	<input type="checkbox"/> Business Partners/Contacts (Federal, state, local agencies)	<input type="checkbox"/> Vendors/Suppliers/Contractors	<input type="checkbox"/> Patients	Other <input type="text"/>																				
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17 How many individuals' PII is in the system?	<input type="text" value="500-4,999"/>																										
18 For what primary purpose is the PII used?	PII is collected for the identification of ill travelers who are suspected of having a disease of public health interest.																										
19 Describe the secondary uses for which the PII will be used (e.g. testing, training or research)	PII may be used for confirming case travel details, locating potentially exposed contacts, and initiating community-based investigation.																										

20 Describe the function of the SSN. N/A

20a Cite the legal authority to use the SSN. N/A

21 Identify legal authorities governing information use and disclosure specific to the system and program. Public Health Service Act, Section Sections 311, 361-368 (42 U.S.C. 242k) and 42 CFR parts 70 and 71.

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

22a Identify the number and title of the Privacy Act System of Records Notice (SORN) that is being used to cover the system or identify if a SORN is being developed. Published: 09-20-0171, Quarantine-and-Traveler-Related Activities, Including Records for Contact Tracing Investigation and Notification under 42 CFR Published: Published: In Progress

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. OMB Control No.0920-0134, CDC ID 0920-19MG

24 Is the PII shared with other organizations? Yes No

24a Identify with whom the PII is shared or disclosed and for what purpose.

Within HHS

Purpose: To more effectively deal with outbreaks and other significant public health conditions

Other Federal Agency/Agencies

Purpose: To more effectively deal with outbreaks and other significant public health conditions

State or Local Agency/Agencies

Purpose: To more effectively deal with outbreaks and other significant public health conditions

Private Sector

Purpose: To medical personnel providing evaluation and care for ill or exposed persons, including travelers.

24b Describe any agreements in place that authorizes the information sharing or disclosure (e.g. Computer Matching Agreement, Memorandum of Understanding (MOU), or Information Sharing Agreement (ISA)).

N/A

24c Describe the procedures for accounting for disclosures

All disclosures of information are processed through CDC's Epidemic Information Exchange System (Epi-X) which is a separate system covered by its own PIA. QARS maintains a record of each disclosure sent to Epi-X for processing and has the capability to produce detailed reports and summaries of those disclosures.

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.

During a personal encounter, the individual is notified verbally that personal information will be collected.

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.

Due to CDC's Public Health mandate and the time sensitive nature of public health events, DGMQ does not request formal consent to collect or use PII. If the individual does not wish to provide the information, only partial information will be collected. However, if an individual refuses to provide the requested information and it is reasonably believed that the individual is infected with or has been exposed to a quarantinable communicable disease, CDC may quarantine, isolate, or place the individual under surveillance under 42 CFR 71.32 and 71.33.

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.

The QARS system's Authorization to Operate on the CDC network does not allow allow changes that would contradict the disclosure and/or data uses described in Privacy Act System of Records Notice (SORN) 09-20-0171, Quarantine- and Traveler-Related Activities, Including Records for Contact Tracing Investigation and Notification under 42 CFR Parts 70 and 71. Therefore this process is not applicable and has not been developed.

<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>To report and resolve concerns, individuals can contact the POC listed above (or system manager identified in SORN 09-20-0171). The correspondence should reasonably identify the record and specify the information being contested, the corrective action sought, and the reasons for requesting the correction, along with supporting information to show how the record is inaccurate, incomplete, untimely, or irrelevant.</p> <p>Person having complaints, concerns, or questions about Quarantine Activity Reporting System privacy practices can send these inquiries via postal mail to General public communications are directed to Center for Disease Control & Prevention, Human Research Protection Office, 1600 Clifton, Rd NE, Atlanta GA 30329-4027 or their designee, for internal review, and then are forwarded to CDC's Senior Agency Official for Privacy, as necessary to review concerns and respond to resolve the individual's inquiry.</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 system has validation and integrity rules in place. Subject Matter Experts conduct at a minimum annual reviews and thereafter periodic (monthly/quarterly) review data to ensure accuracy. Data is collected on a case by case basis for immediate identification of ill travelers who are suspected of having a disease of public health interest. Although immediate efforts may be made to confirm information during the investigation of an event, no efforts are made to periodically (outside the initial investigation) follow-up or review the integrity, availability, accuracy, and/or relevancy of the PII data collected.</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="716 1026 951 1161"> <input checked="" type="checkbox"/> Users </td> <td data-bbox="951 1026 1422 1161"> Contact ill passengers for follow-up, contact tracing because of possible exposure to disease of public health significance. </td> </tr> <tr> <td data-bbox="716 1161 951 1281"> <input checked="" type="checkbox"/> Administrators </td> <td data-bbox="951 1161 1422 1281"> Maintenance (Patches, updates) and compliance to integrity, accountability and confidentiality is maintained. </td> </tr> <tr> <td data-bbox="716 1281 951 1354"> <input type="checkbox"/> Developers </td> <td data-bbox="951 1281 1422 1354"></td> </tr> <tr> <td data-bbox="716 1354 951 1428"> <input type="checkbox"/> Contractors </td> <td data-bbox="951 1354 1422 1428"></td> </tr> <tr> <td data-bbox="716 1428 951 1499"> <input type="checkbox"/> Others </td> <td data-bbox="951 1428 1422 1499"></td> </tr> </table>	<input checked="" type="checkbox"/> Users	Contact ill passengers for follow-up, contact tracing because of possible exposure to disease of public health significance.	<input checked="" type="checkbox"/> Administrators	Maintenance (Patches, updates) and compliance to integrity, accountability and confidentiality is maintained.	<input type="checkbox"/> Developers		<input type="checkbox"/> Contractors		<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>The Business Steward is limiting access to the smallest possible number of people necessary to access PII data for conducting official responsibilities through specific Role-based</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>QARS access roles are designed to ensure user access to PII is limited to the minimum amount of information necessary to perform their job. Least privilege, Role Based Access 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.	All CDC personnel are required to complete annual Security and Privacy Awareness Training.	
35 Describe training system users receive (above and beyond general security and privacy awareness training).	All CDC employees who have access to PII/sensitive information are required to complete HHS/CDC Role based training.	
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 records are maintained in accordance with General Records Schedule (GRS) and comply with CDC Records Control Schedule (RCS). Final reports are created to document programmatic decisions, policies, and other related issues and are maintained permanently (CDC RCS, B-321, 4-1d). Electronic feed(s) from other electronic systems - Dispose when no longer needed: GRS 20.2c. Input data of Non-electronic records manually data entered are maintained and disposed of when no longer needed: GRS 20.2a.4. Other input/output records are disposed of when no longer needed: GRS 20.2a.4, 20.2c, and 20.6. 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 controls: Completion of training requirements; risk analyses performed annually; branch management reviewing access requests and granting minimal amount of access. Technical controls: Users are authenticated and data secured using operating system and server security, administered by the local system administrator. PII data is encrypted at rest and in transits with access restricted to specific authorized users as required by HHS and CDC policy. Physical- The server is housed on CDC property with gate guards at the entrances to the property, individual user access credentials are required for each non-public building , floor, and office. Closed Circuit TV is also used by the internal security guards to check for and grant access to authorized individuals.	
General Comments		
OPDIV Senior Official for Privacy Signature		

