

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

8a Date of Security Authorization

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,
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.	<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 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 information Medical records information Laboratory and other relevant tests
16 Indicate the categories of individuals about whom PII is collected, maintained or shared.	<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"/>
17 How many individuals' PII is in the system?	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. NA

20a Cite the legal authority to use the SSN. NA

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. 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 Expires August 31, 2022 Renewal pending with OMB.

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)).

None

24c Describe the procedures for accounting for disclosures

All disclosures of information are processed through CDC's Epidemic Information Exchange System (Epi-X). 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 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 may contact Director, NCPDCID, Coordinating Center for Infectious Diseases, Bldg. 1, Rm. 6013, MS C12, Centers for Disease Control and Prevention, 1600 Clifton Road, NE., Atlanta, GA 30333. 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 email, phone, or postal mail. General public communications are directed to CDC's Human Research Protection Office 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="732 1071 954 1192"> <input checked="" type="checkbox"/> Users </td> <td data-bbox="963 1071 1409 1192"> Contact ill passengers for follow-up, contact tracing because of possible exposure to disease of public health </td> </tr> <tr> <td data-bbox="732 1203 954 1325"> <input checked="" type="checkbox"/> Administrators </td> <td data-bbox="963 1203 1409 1325"> Maintenance (Patches, updates) and compliance to integrity, accountability and confidentiality is maintained. </td> </tr> <tr> <td data-bbox="732 1335 954 1388"> <input type="checkbox"/> Developers </td> <td data-bbox="963 1335 1409 1388"> </td> </tr> <tr> <td data-bbox="732 1398 954 1451"> <input type="checkbox"/> Contractors </td> <td data-bbox="963 1398 1409 1451"> </td> </tr> <tr> <td data-bbox="732 1461 954 1533"> <input type="checkbox"/> Others </td> <td data-bbox="963 1461 1409 1533"> </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	<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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<input type="checkbox"/> Developers											
<input type="checkbox"/> Contractors											
<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>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?

Yes
 No

37 Describe the process and guidelines in place with regard to the retention and destruction of PII. Cite specific records retention schedules.

Records are maintained in accordance with General Records Schedule (GRS) and comply with CDC Records Control Schedule (RCS). In accordance with GRS 5.2, final reports are created to document programmatic decisions, policies, and other related issues and are maintained permanently (CDC RCS, B-321, 2&4). Input data of Non- electronic records manually data entered are maintained and disposed of when no longer needed. Other input/output records are disposed of when no longer needed: 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 security 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

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OPDIV Senior Official for Privacy Signature

Jarell Oshodi
-S
Digitally signed by Jarell Oshodi -S
Date: 2022.07.29 11:52:59 -04'00'

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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 for Animal Facility Electronic Tracking of Quarantine (SAFE TraQ) is an application monitoring dogs
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 Safe TraQ system stores information about dogs and their owners. It maintains information about the dog's health, including vaccination history/status to determine if the dog
13 Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily.	SAFE TraQ enables easy access and monitoring of animals coming into the U.S and how they will be handled. The system stores information about each dog sent to an animal care
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.	<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 checked="" 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 biometric information and vaccination history/status for the dogs
16 Indicate the categories of individuals about whom PII is collected, maintained or shared.	<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"/>
17 How many individuals' PII is in the system?	100,000-999,999
18 For what primary purpose is the PII used?	The PII will be used to identify dog owners for pickups of animals at care facilities and also to allow CDC to contact these individuals later in the event of a public health threat.
19 Describe the secondary uses for which the PII will be used (e.g. testing, training or research)	None

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 361, "Regulations to Control Communicable Diseases" (42 U.S.C. 264).

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. N/A

24 Is the PII shared with other organizations? Yes No

<p>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>	<p>The PII is required and provided by the dog owner when they apply to transport the dog. Owners importing dogs into the U.S. will provide information, including PII, to animal care facilities (ACF). ACFs will then document the owner's details in SAFE TraQ to identify them for pickups of animals at care facilities and allow CDC to contact someone in the event of a future public health threat.</p>										
<p>26 Is the submission of PII by individuals voluntary or mandatory?</p>	<p><input checked="" type="radio"/> Voluntary <input type="radio"/> Mandatory</p>										
<p>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>	<p>Dog owners can opt out of the collection, and use of PII at the point of transportation by not sending their dogs. If the owners refuse to give their PII, their dogs will not be transported. Owners who decide to opt out of the collection of their PII will not have their animal transported.</p>										
<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>When major changes occur to the system disclosure and/or data uses have changed since the notice at the time of original collection, SAFE TraQ administrators will immediately notify the ACFs and Labs of the changes. The ACFs and Labs will notify animal owners through email/Phone number of the changes.</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 animal owners can express concerns about their PII by contacting the CDC Division of Global Migration and Quarantine (DGMQ) office at 800-232-4636 or CDCanimalimports@cdc.gov</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>A quarterly review of PII data management for SAFE TraQ data will be scheduled. This review will be coordinated with the SAFE TraQ Contract Officer Representative/management team, and the CDC DGMQ office.</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 1157 954 1241"><input checked="" type="checkbox"/> Users</td> <td data-bbox="954 1157 1409 1241">Users need access to SAFE TraQ system to conduct data analyses.</td> </tr> <tr> <td data-bbox="727 1241 954 1360"><input checked="" type="checkbox"/> Administrators</td> <td data-bbox="954 1241 1409 1360">SAFE TraQ administrators may have access in order to handle escalated support cases.</td> </tr> <tr> <td data-bbox="727 1360 954 1436"><input type="checkbox"/> Developers</td> <td data-bbox="954 1360 1409 1436"></td> </tr> <tr> <td data-bbox="727 1436 954 1556"><input checked="" type="checkbox"/> Contractors</td> <td data-bbox="954 1436 1409 1556">CDC DGMQ Help Desk specialists will have access to assist with support These are Direct Contractors.</td> </tr> <tr> <td data-bbox="727 1556 954 1625"><input type="checkbox"/> Others</td> <td data-bbox="954 1556 1409 1625"></td> </tr> </table>	<input checked="" type="checkbox"/> Users	Users need access to SAFE TraQ system to conduct data analyses.	<input checked="" type="checkbox"/> Administrators	SAFE TraQ administrators may have access in order to handle escalated support cases.	<input type="checkbox"/> Developers		<input checked="" type="checkbox"/> Contractors	CDC DGMQ Help Desk specialists will have access to assist with support These are Direct Contractors.	<input type="checkbox"/> Others	
<input checked="" type="checkbox"/> Users	Users need access to SAFE TraQ system to conduct data analyses.										
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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>Access to application is based on Business Steward's validation for Role-Based Access Control (RBAC), where users are identified through CDC's Digital Services Office (DSO) - Secure</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>A role-based system is used to assign privileges. Designations will focus on data entry/editing, read-only access, and system administration.</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 personnel system owners, managers, operators, contractors and/or program managers using the SAFE TraQ system complete Privacy and Security Awareness Training (at least annually) as provided by the CDC.

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

CDC DGMQ Help Desk personnel also go through a comprehensive contractor onboarding and compliance training from their contracting company.

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.

Records are retained and disposed of in accordance with the CDC Records Control Schedule (N1-442-09-1). Records are disposed of when they are no longer needed by program officials. 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. Records are retained for 20 years.

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

Administrative - administrative controls include review of accounts and access to PII data elements on a recurring basis, inheriting computer security awareness training controls for CDC staff, lowest-level privilege through role definition, development of incident response planning, and account management policies inclusive of account creation and termination.
PII stored will be limited in the user interface leveraging role-based access.

Physical - data center physical security begins at the perimeter layer. This layer includes a number of security features depending on the location, such as security guards, fencing, security feeds, intrusion detection technology, and other security measures.

Technical - PII data is encrypted and stored in a secure database. Technical controls are in place to manage user identity, identity proofing, authentication, and authorization.

General Comments

[Empty text box for general comments]

OPDIV Senior Official for Privacy Signature

Beverly E. Walker -S

Digitally signed by Beverly E. Walker -S
Date: 2022.10.20 18:36:10 -04'00'