General Information

PIA Name:	CDC - DFWED OES - QTR1 - 2023 - CDC6696237	**PIA ID:**	6696237
Name of Component:	DFWED Outbreak_Event Surveillance	**Name of ATO Boundary:**	DFWED Outbreak_Event Surveillance

Migrated Sub-Component PIA

PIA Name
No Records Found

Sub-Component

Software Name
No Records Found

Original Related PIA ID

PIA Name
No Records Found

Overall Status:	✅	**PIA Queue:**	
Submitter:	MEEKS, Arivey WANG, Terry	**# Days Open:**	45
Submission Status:	Submitted	**Submit Date:**	3/8/2023
Next Assessment Date:	04/20/2026	**Expiration Date:**	4/20/2026
Office:	DDID	**OpDiv:**	CDC
Security Categorization:	Low		
Legacy PIA ID:		**Make PIA available to Public?:**	Yes
1:	Identify the Enterprise Performance Lifecycle Phase of the system		
2:	Is this a FISMA-Reportable system?		
3:	Does the system have or is it covered by a Security Authorization to Operate (ATO)?		
4:	ATO Date or Planned ATO Date		3/31/2023

Privacy Threshold Analysis (PTA)

PTA Name
CDC - DFWED OES - QTR4 - 2022 - CDC6384326

History Log:	**View History Log**

PTA

PTA

PTA - 2:	Indicate the following reason(s) for this PTA. Choose from the following options.	PIA Validation (PIA Refresh)
PTA - 2A:	Describe in further detail any changes to the system that have occurred since the last PIA.	None
PTA - 3:	Is the data contained in the system owned by the agency or contractor?	Agency

PTA - 4:	Please give a brief overview and purpose of the system by describing what the functions of the system are and how the system carries out those functions.	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.
PTA - 5:	List and/or describe all the types of information that are collected (into), maintained, and/or shared in the system regardless of whether that information is PII and how long that information is stored.	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, their office Phone number, office fax number, and office 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.
PTA - 5A:	Are user credentials used to access the system?	

PTA - 5B:	Please identify the type of user credentials used to access the system.	Non-HHS User Credentials
		
		   Username
		
		   Password
		
		HHS User Credentials
		
		   HHS/OpDiv PIV Card

PTA - 6:	Describe why all types of information is collected (into), maintained, and/or shared with another system. This description should specify what information is collected about each category of individual.	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. This information is collected to allow the program to perform their required outbreak and event surveillance. The system captures the name of the reporting agency, the name of the agency point of contact, their title, office phone number, office fax number, and office email address. The name of both the form author and the report author is also collected. This information is collected to identify where the report came from and to address any questions as needed. The system does store the individuals user id and password to perform user identification and authentication for authorized users.
PTA - 7:	Does the system collect, maintain, use or share PII?	Yes
PTA - 7A:	Does this include Sensitive PII as defined by HHS?	Yes
PTA - 8:	Does the system include a website or online application?	Yes
PTA - 8A:	Are any of the URLs listed accessible by the general public (to include publicly accessible log in and internet websites/online applications)?	No

PTA - 9:	Describe the purpose of the website, who has access to it, and how users access the web site (via public URL, log in, etc.). Please address each element in your response.	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. Users include State Health Department staff are issued a username and password and CDC authorized users access the network using the CDC credentials.
PTA - 10:	Does the website have a posted privacy notice?	Yes
PTA - 11:	Does the website contain links to non-federal government websites external to HHS?	No
PTA - 11A:	Is a disclaimer notice provided to users that follow external links to websites not owned or operated by HHS?	
PTA - 12:	Does the website use web measurement and customization technology?	No
PTA - 12A:	Select the type(s) of website measurement and customization technologies in use and if it is used to collect PII.	
PTA - 13:	Does the website have any information or pages directed at children under the age of thirteen?	No
PTA - 13A:	Does the website collect PII from children under the age thirteen?	No
PTA - 13B:	Is there a unique privacy policy for the website and does the unique privacy policy address the process for obtaining parental consent if any information is collected?	
PTA - 14:	Does the system have a mobile application?	No
PTA - 14A:	Is the mobile application HHS developed and managed or a third-party application?	
PTA - 15:	Describe the purpose of the mobile application, who has access to it, and how users access it. Please address each element in your response.	
PTA - 16:	Does the mobile application/ have a privacy notice?	
PTA - 17:	Does the mobile application contain links to non-federal government website external to HHS?	
PTA - 17A:	Is a disclaimer notice provided to users that follow external links to resources not owned or operated by HHS?	
PTA - 18:	Does the mobile application use measurement and customization technology?	
PTA - 18A:	Describe the type(s) of measurement and customization technologies or techniques in use and what information is collected.	
PTA - 19:	Does the mobile application have any information or pages directed at children under the age of thirteen?	
PTA - 19A:	Does the mobile application collect PII from children under the age thirteen?	
PTA - 19B:	Is there a unique privacy policy for the mobile application and does the unique privacy policy address the process for obtaining parental consent if any information is collected?	

PTA - 20:	Is there a third-party website or application (TPWA) associated with the system?	No
PTA - 21:	Does this system use artificial intelligence (AI) tools or technologies?	No

PIA

PIA

PIA - 1:	Indicate the type(s) of personally identifiable information (PII) that the system will collect, maintain, or share.	Name Email Address Phone numbers User Credentials Other - Free text Field - Name of Agency, Fax Numbe
PIA - 2:	Indicate the categories of individuals about whom PII is collected, maintained or shared.	Business Partners/Contacts (Federal, state, local agencies) Employees/ HHS Direct Contractors
PIA - 3:	Indicate the approximate number of individuals whose PII is maintained in the system.	201 - 500
PIA - 4:	For what primary purpose is the PII used?	The Agency contact information is primarily used to confirm details or answer questions concerning the reported outbreak.
PIA - 5:	Describe any secondary uses for which the PII will be used (e.g. testing, training or research).	The individual's user ID and Password are needed to perform identification and authentication to operate the system.
PIA - 6:	Describe the function of the SSN and/or Taxpayer ID.	N/A
PIA - 6A:	Cite the legal authority to use the SSN.	N/A
PIA - 7:	Identify legal authorities, governing information use and disclosure specific to the system and program.	Public Health Service Act, section 301, "Research and Investigation," (42 U.S.C. 241); sections 304, 306 and 308(d) which discuss authority to grant assurances of confidentiality for health research and related activities (42 U.S.C. 242 b, k, and m(d))
PIA - 8:	Are records in the system retrieved by one or more PII data elements?	No
PIA - 8A:	Please specify which PII data elements are used to retrieve records.	
PIA - 8B:	Provide the number, title, and URL of the Privacy Act System of Records Notice (SORN) that is being used to cover the system or indicate whether a new or revised SORN is in development.	

PIA - 9:	Identify the sources of PII in the system.	Government Sources
		  Within the OPDIV
		  State/Local/Tribal

PIA - 10:	Is there an Office of Management and Budget (OMB) information collection approval number?	Yes
PIA - 10A:	Provide the information collection approval number.	0920-1105

PIA - 10B:	Identify the OMB information collection approval number expiration date.	11/30/2025
PIA - 10C:	Explain why an OMB information collection approval number is not required.	N/A
PIA - 11:	Is the PII shared with other organizations outside the system's Operating Division?	No
PIA - 11A:	Identify with whom the PII is shared or disclosed.	
PIA - 11B:	Please provide the purpose(s) for the disclosures described in PIA - 11A.	
PIA - 11C:	List any agreements in place that authorize the information sharing or disclosure (e.g., Computer Matching Agreement (CMA), Memorandum of Understanding (MOU), or Information Sharing Agreement (ISA)).	
PIA - 11D:	Describe process and procedures for logging/tracking/accounting for the sharing and/or disclosing of PII. If no process or procedures are in place, please explain why not.	
PIA - 12:	Is the submission of PII by individuals voluntary or mandatory?	Voluntary
PIA - 12A:	If PII submission is mandatory, provide the specific legal requirement that requires individuals to provide information or face potential civil or criminal penalties.	
PIA - 13:	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.	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. If the individual does not want to have the system store their user id they may chose not to have access to the system.
PIA - 14:	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 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. 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.
PIA - 15:	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.	The individual can contact the program using the email address OHHAB@cdc.gov, concerning any questions or concerns when they believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate. 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 program using the email address OHHAB@cdc.gov to resolve any identified issues.

PIA - 16:	Describe the process in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy and relevancy. Please address each element in your response. If no processes are in place, explain why not.	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.

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. |
| **PIA - 17:** | Identify who will have access to the PII in the system. | Users

Administrators

Contractors |
| **PIA - 17A:** | Select the type of contractor. | HHS/OpDiv Direct Contractors |
| **PIA - 17B:** | Do contracts include Federal Acquisition Regulation (FAR) and other appropriate clauses ensuring adherence to privacy provisions and practices? | Yes |
| **PIA - 18:** | Provide the reason why each of the groups identified in PIA - 17 needs access to PII. | Users - Agency contact information is needed to obtain clarification or answer questions concerning a submitted outbreak report.

Administrators - Direct Contractors are the system administrators. They have access to User Information to verify access to the system.

Contractors - Direct Contractors are the system administrators. They have access to User Information to verify access to the system. |
| **PIA - 19:** | Describe the administrative procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII. | 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. |
| **PIA - 20:** | Describe the technical methods in place to allow those with access to PII to only access the minimum amount of information necessary to perform their job. | 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. |

PIA - 21:	Identify the general security and privacy awareness training provided to system users (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.	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.
PIA - 22:	Describe training system users receive (above and beyond general security and privacy awareness training).	Annual Role Based Security Training for IT Administrators.
PIA - 23:	Describe the process and guidelines in place with regard to the retention and destruction of PII. Cite specific National Archives and Records Administration (NARA) records retention schedule(s) and include the retention period(s).	The CDC General Records Schedule (GRS) 5.2 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.
PIA - 24:	Describe how the PII will be secured in the system using administrative, technical, and physical controls. Please address each element in your response.	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.

Review & Comments			

Privacy Analyst Review

OpDiv Privacy Analyst Review Status:	Approved	Privacy Analyst Review Date:	3/9/2023
Privacy Analyst Comments:	Approved	Privacy Analyst Days Open:	

SOP Review

SOP Review Status:	Approved	SOP Signature:	JWO Signature.docx
SOP Comments:		SOP Review Date:	3/16/2023
		SOP Days Open:	8

Agency Privacy Analyst Review

Agency Privacy Analyst Review Status:	Approved	Agency Privacy Analyst Review Date:	4/19/2023
Agency Privacy Analyst Review Comments:	Reviewer: Shanai Shobowale This PIA is ready for approval and signature.	Agency Privacy Analyst Days Open:	34

SAOP Review

SAOP Review Status:	Approved	SAOP Signature:	
SAOP Comments:	PTA-5, PTA-6 and PTA-9 state that "The system does store the individuals user id and password to perform user identification and authentication for authorized users." However, PTA-5A says that "user credentials are maintained in a separate system (e.g., AD, AMS) and not collected or maintained by this system." If a system collects or maintains user credentials, the response to PTA-5A should be yes, even if some users authenticate to the system via a separate system. OpDivs can use PTA-5 or PTA-6 to explain how different users authenticate, the name of the separate system providing authentication for some users, and whether the authenticating system has its own PIA. As PTA responses cannot revised once approved by the OpDiv SOP, these responses will need to be updated when directed by the CDC SOP.	SAOP Review Date:	4/21/2023
		SAOP Days Open:	2

Supporting Document(s)

Name	Size	Type	Upload Date	Downloads
No Records Found				