HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ASTRO

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-25
2	**HHS Agency (OPDIV):**	Centers for Disease Control and Prevention (CDC)
3	**Title of System or Information Collection:**	ASTRO
4	**Is this System or Information Collection new or is an existing one being modified?**	Existing
5	**Unique Project Identifier Number:**	n/a
6	**System of Records Number:**	n/a
7	**OMB Information Collection Approval Number and Expiration Date :**	n/a
8	**Other Identifying Number(s):**	n/a
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The CDC serves as the national focus for developing and applying disease prevention and control, environmental health, and health promotion and health education activities designed to improve the health of the people of the United States. As part of this task CDC conducts unique surveys, epidemiologic studies, and research programs in which primarily human biologic materials are collected, characterized, tested, and a portion stored for future laboratory investigations. In a number of instances the biologic materials obtained in these investigations cannot be replaced or obtained elsewhere. Collectively, these materials represent a unique public health resource that may prove invaluable in future investigations. Historically, archived CDC specimen collections have frequently proven valuable in studies ranging from Legionnaires disease, AIDS, and hantavirus. The Archival Specimen Tracking and Retrieval Operations (ASTRO) database system was designed by CDC to catalog, store, track, and retrieve these specimens.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ASTRO

10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	This system does not collect personally identifiable information. A minimal set of epidemiologic information is kept in ASTRO to facilitate the sharing of specimens. All detailed information, test results, etc. are kept by the custodian of the individual collections. Persons wishing to consider using the specimens must go directly to the custodian for any other information.
11	**Explain why the information is being collected.**	n/a
12	**Identify with whom the agency will share the collected information .**	n/a
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	n/a
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	n/a
15	**Describe how the information will be secured.**	n/a
16	**Describe plans for retention and destruction of data collected.**	n/a
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	n/a
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ASTRO

19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: CDC Web

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-12-01
2	**HHS Agency (OPDIV):**	Centers for Disease Control and Prevention
3	**Title of System or Information Collection:**	CDC Web Redesign
4	**Is this System or Information Collection new or is an existing one being modified?**	New
5	**Unique Project Identifier Number:**	009-20-01-23-01-1015-00
6	**System of Records Number:**	n/a
7	**OMB Information Collection Approval Number and Expiration Date :**	n/a
8	**Other Identifying Number(s):**	n/a
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The CDC Web Redesign system is CDC□s main Internet Web presence serving more than 150,000 pages over 8 million average visits per month. The system consists of a content management system, a search engine, a Web server, and a portal server. All content presented through this system is cleared through a scientific clearance process, is for public use, and does not contain any personally identifiable information.
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	The system does not collect personally identifiable information.
11	**Explain why the information is being collected.**	n/a

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: CDC Web

12	**Identify with whom the agency will share the collected information .**	n/a
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	n/a
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	n/a
15	**Describe how the information will be secured.**	n/a
16	**Describe plans for retention and destruction of data collected.**	n/a
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	n/a
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: EAIP

Question:		Response:
1	Date of this Submission (MM/DD/YYYY):	2005-06-14
2	OPDIV:	CDC
3	Title of System or Information Collection:	EAIP
4	Is this system or information collection new or is an existing one being modified?	New
5	Does this system collect, maintain, and/or disseminate information in identifiable form (IIF)?	Y
6	Identify a point of contact to whom a member of the public can address questions concerning this information system and the privacy concerns associated with it.	Ms. Paula Casillas
7	Unique Project Identifier Number:	009-20-01-02-02-8121-00-110-218
8	System of Records Number:	
9	OMB Information Collection Approval Number and Expiration Date :	0920-0199
10	Other Identifying Number(s):	
11	Provide an overview of the system or collection and indicate the legislation authorizing this activity.	The EAIP system stores and secures information required by the Centers for Disease Control and Prevention to support USPHS 42 CFR - Part 71 Foreign Quarantine. Part 71.54 Etiologic agents, hosts, and vectors which states that a person may not import into the United States, nor distribute after importation, any etiologic agent or any arthropod or other animal host or vector of human disease, or any exotic living arthropod or other animal capable of being a host or vector of human disease unless accompanied by a permit issued by the Director. Further, any import coming within the provisions of this section will not be released from custody prior to receipt by the District Director of U.S. Customs Service of a permit issued by the Director (Centers for Disease Control and Prevention).

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: EAIP

12	**Describe the information the agency will collect, maintain, or disseminate and how the agency will use the information. In this description, indicate whether the information contains IIF and whether submission is voluntary or mandatory.**	EAIPS stores the following information about the individuals who send materials covered by the regulation to the Applicant (Senders): last name, middle initial, first name, organization, address (street, city, state/province, postal code, country, telephone number, fax number, email address. EAIPS stores the following information about the materials being imported: detailed description of the material, country of origin, address where the pathogen will be used (street, city, state, zip), data about suspected etiologic agents contained in the material, type of material, how the material will be used, date work will be completed, data about the final disposition of the material. EAIPS stores the following information about material shipment and storage: number of shipments, port of entry, total volume, description of applicant□s laboratory facilities and equipment, description of the qualifications of the technical staff who will handle the material. Submission is mandatory for any person who wishes to obtain an import permit.
13	**Explain how the IIF collected, maintained, and/or disseminated is the minimum necessary to accomplish the purpose for this effort.**	The information stored by EAIPS is the minimum amount of data needed to adequately evaluate requests for import permits.
14	**Explain why the IIF is being collected, maintained, or disseminated.**	To support USPHS 42 CFR - Part 71 Foreign Quarantine. Part 71.54 Etiologic agents, hosts, and vectors which recognizes etiologic agents, vectors and material containing etiologic agents as hazardous materials which must be accompanied by a U.S. Public Health Service importation permit when imported into the United States of America
15	**Identify with whom the agency will share the IIF.**	The information stored in EAIPS is not currently shared.
16	**Describe how the IIF will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	The information collected by the EAIPS program will be submitted by Applicants (as identified in USPHS 42 CFR - Part 71 Foreign Quarantine. Part 71.54 Etiologic agents, hosts, and vectors) through submission of OMB form 0920-0199. This form includes guidance with descriptions of the applicable public law and related rules, procedures, purpose and intended use of the collected data. Data is required for any entity subject to the provisions of the law, opportunity for consent is not provided.
17	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children□s Online Privacy Protection Act of 1998)**	Information is not collected from children.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: EAIP

18	**Describe how the IIF will be secured.**	EAIPS stores the data in a password protected database hosted on a single stand-alone Windows PC. The system and supporting paper documents are located within secure spaces compliant with Defense Security Services (DSS) standards. All personnel with access to the data will have current DoD Secret level clearances (or equivalent).
19	**Describe plans for retention and destruction of IIF.**	Data will be maintained in accordance with a NARA compliant File Retention and Destruction Plan.
20	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	Yes
21	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endosed by the OPDIV Privacy Contact (Sign and Date):**	Betsey S. Dunaway
22	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie L. Gerberding
23	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ECTP

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2004-11-28
2	**HHS Agency (OPDIV):**	CDC
3	**Title of System or Information Collection:**	Enterprise Communication Technology Platform (ECTP)
4	**Is this System or Information Collection new or is an existing one being modified?**	New
5	**Unique Project Identifier Number:**	
6	**System of Records Number:**	
7	**OMB Information Collection Approval Number and Expiration Date :**	
8	**Other Identifying Number(s):**	

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ECTP

9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The Enterprise Communication Technology Platform will establish a common, coherent framework through which CDC programs can communicate with and collaborate with external partners over the web. This framework will simplify and expedite the exchange of both emergency and routine public health information between CDC and state and local health departments, and will reduce the confusing variety of approaches to such communication that CDC has presented to its external partners. ECTP will provide enterprise-level, state-of-the-art systems software to support exchanging information with, issuing alerts to, and holding online dialogues with external partners. These software will be integrated with CDC□s Secure Data Network (SDN), the Public Health Directory (PhinDir), and the new CDC Web Portal to provide access control, protection of sensitive information, and improved management of subscriber and audience information. The ECTP platform will extend CDC□s current technical ability to issue alerts, supporting alerts via email, telephone, cell phone, beeper, and PDA, and using contact information from the Public Health Directory that is updated electronically by the clients and client organizations themselves. ECTP will also provide some of the most useful new team collaborative web technology, such as the ability to hold forums, co-edit documents, share information repositories, manage tasks and workflows and hold conferences and discussions in real time over the web. CDC programs will be able to employ these functions out-of-the-box or customize them within their own applications to serve their particular needs and unique requirements.
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	The system will collect information on the name, position, role, organizational affiliation, and methods of contact (email, phone, fax, etc) for members of the public health workforce in order to assure the ability to contact appropriate officials during events of public health import or during emergencies. Emergency contact information that impinge on personal privacy, such as home phone numbers, will be collected only for that subset of people for which it is necessary.
11	**Explain why the information is being collected.**	The information is being collected in order to assure the ability to contact appropriate officials during events of public health import or during emergencies.
12	**Identify with whom the agency will share the collected information .**	Personal contact information of CDC staff only will be shared with state and local health departments who have similar emergency communication systems.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ECTP

13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	The information will be obtained through directory synchronization with other organizations (e.g. state health departments) and through a COTS directory maintenance application: Netegrity IdentityMinder. CDC is developing its data privacy policies and practices regarding this personal contact information in consultation with and will publish them to partner organizations who supply directory synchronizations and to individuals listed in the directory via written notice (web publication and via email). All individuals listed within the system will be appraised of the fact that they are listed and will be able to establish a data visibility profile for their personal contact information - personal contact information may for example be visible only to the system itself for purposes of message addressing and not visible to any human user.
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	No such information will be collected
15	**Describe how the information will be secured.**	The directory of personal contact information will reside behind the CDC firewall. Read access to this resource will be restricted to authorized applications only. The mechanisms for restricting access will consist of application level authentication including restriction of client□s server addresses. Within this application level restriction, read rights of individual users/administrators will be handled by a software service layer that will most likely have to be developed in-house, since the rules governing authority to view fields and records are complex. Online update rights to the directory will be managed by Netegrity IdentityMinder. The rules for managing update access to individual records and fields are complex and are currently under development. Update rights governing updates received as part of a directory synchronization process will be handled by a software service layer that will most likely have to be developed in-house, since the rules governing update authority are complex.
16	**Describe plans for retention and destruction of data collected.**	These plans are under development. Requirements gathering has established that the personal contact information used by this system must be routinely and periodically re-verified. Records representing individuals who are no longer pertinent to the system will be routinely deleted.
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	The directory being described is not a system of record. All information derives from other systems.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ECTP

18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsey S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: Epi-X

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-12-01
2	**HHS Agency (OPDIV):**	CDC
3	**Title of System or Information Collection:**	The Epidemic Information Exchange (Epi-X)
4	**Is this System or Information Collection new or is an existing one being modified?**	Existing
5	**Unique Project Identifier Number:**	009-20-01-21-02-1060-00
6	**System of Records Number:**	N/A
7	**OMB Information Collection Approval Number and Expiration Date :**	N/A
8	**Other Identifying Number(s):**	N/A
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	Epi-X is CDC□s secure, moderated, bi-directional method of communicating outbreak and terrorist information to state and local health departments, other Federal agencies and selected international groups and organizations. It is also the preferred method of notifying users of vital public health information. CSTE (Council of State and Territorial Epidemiologists) passed resolution to establish secure, moderated communications for the rapid exchange and notification of outbreaks, disasters and possible terrorist acts. Specific legislation that authorizes this activity is unknown. It was developed before 9/11 but was used operationally during 9/11 and the anthrax outbreaks. However, Epi-X is congruent with the mission of CDC and its rapid response to routine and emergent public health problems including the rapid response to state health department requests for CDC assistance.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: Epi-X

10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	The information is submitted by state, local and Federal health officials using a secure, web-based reporting system. Epi-X uses CDC Secure Data Network (SDN) to authenticate users. SDN requires an authorized user to possess a Class II VeriSign digital certificate issued by CDC and a Strong password to enter the system . The data are encrypted while in transit through the Internet at 128-bit encryption. Data are then stored in a SQL 2000 data base server that is behind the firewall. Only authorized users may access the data. The data is used to report vital public health events that are of national importance, including outbreaks, disasters, and possible terrorism reports. Users provide the system with personal and business contact information for Epi-X and authorized users to contact individuals during routine and emergent health events.
11	**Explain why the information is being collected.**	The information is collected to assist states to exchange information with colleagues to protect public health and to emergently notify colleagues in emergencies.
12	**Identify with whom the agency will share the collected information .**	Only with authorized Epi-X users.
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	The information is posted to the Epi-X website by local, state and Federal health officials. These authorized users are required to read and abide by the Epi-X Editorial Policy which delineates their roles and responsibilities with regard to the use of Epi-X information.
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	The information will not be collected from children.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: Epi-X

15	**Describe how the information will be secured.**	The information is stored in a SQL database that resides behind the firewall. The physical security where the servers reside requires special CDC Security clearance to enter the room. Cleared individuals must pass through a double door system that is electronically controlled by a pass key. The servers are locked in separate locked cages that only the system administrators (SA) can access. Then the servers have server-side strong security passwords to enter the server. Written rules of behavior for SAs are enforced by monitoring and recording access logs and through training. SDN authorized users can access the data only if they have a valid VeriSign digital certificate and are authorized to access the data. □Least privilege□ rule (need to know access) is enforced for all authorized users. There is a designated Security Steward that monitors and enforces all security concerns. ITSO scans computers twice a month to ensure adequate protection is maintained on the servers.
16	**Describe plans for retention and destruction of data collected.**	All data is retained in perpetuity.
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	N/A
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: GIS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-27
2	**HHS Agency (OPDIV):**	
3	**Title of System or Information Collection:**	ATSDR Geographic information System (GIS)
4	**Is this System or Information Collection new or is an existing one being modified?**	
5	**Unique Project Identifier Number:**	009-20-01-05-01-1011-02
6	**System of Records Number:**	n/a
7	**OMB Information Collection Approval Number and Expiration Date :**	n/a
8	**Other Identifying Number(s):**	n/a
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	
11	**Explain why the information is being collected.**	
12	**Identify with whom the agency will share the collected information .**	

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: GIS

13 Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.

14 State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)

15 Describe how the information will be secured.

16 Describe plans for retention and destruction of data collected.

17 Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.

18 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):

19 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):

20 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: HAN

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-26
2	**HHS Agency (OPDIV):**	CDC
3	**Title of System or Information Collection:**	Health Alert Network Messaging System
4	**Is this System or Information Collection new or is an existing one being modified?**	Existing
5	**Unique Project Identifier Number:**	009-20-01-23-01-1020-00
6	**System of Records Number:**	n/a
7	**OMB Information Collection Approval Number and Expiration Date :**	n/a
8	**Other Identifying Number(s):**	n/a
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The Health Alert Network (HAN) Messaging System is a Microsoft Outlook-based email and broadcast fax system designed to rapidly distribute official CDC Health Alerts, Advisories, and Updates regarding Bioterrorism and other emergent threats to Public Health, operated and updated by Public Health Advisors (PHAs) in the Informatics and Knowledge Systems Branch, Division of Public Health Systems Development and Research, Public Health Practice Program Office, Centers for Disease Control, DHHS. Data contained within the system include email and fax distribution lists of Public Health officials at the state and local levels, specific CDC and HHS personnel, and contacts within 139 public health and private provider partner organizations, utilized to address and rapidly distribute HAN messages developed by subject matter experts (SME) throughout CDC. Since September 11, 2001, 165 Health Alert Network messages have been distributed on a Special, Regional or National basis.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: HAN

10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	The HAN PHAs contact their assigned states to collect contact information, including Name, Title, Position, Email Address(s), Phone Number(s), Fax Number(s), Mobile/ Wireless Contact, and Mailing Address for State Public Health Officials. The officials at the State level include the State Health Officer, State Epidemiologist, State Lab Director, State Weapons of Mass Destruction Coordinator, State Public Health Information Officer, and State Health Alert Network Coordinator, and in most cases, backups for each position. In addition, HAN PHAs also utilize a listing of local health officials provided by the National Association of City and County Health Officials (NACCHO) to distribute HAN messages to Local Health Departments, when recommended by the SME, the Office of the Director, or the Office of Communications. The collected information is input into the appropriate distribution lists within the Outlook-based system. The distribution lists are accessed and maintained ONLY by authorized personnel within the CDC HAN program, and is only shared with similar systems in CDC, specifically the Epidemiology Exchange (Epi-X) system and the Public Health Information Network (PHIN), for use in similar notifications of emergent health events. The distribution lists are not shared outside of CDC, or outside the auspices of the overall PHIN initiative. The data collected are required to meet the strategic and mission-critical goal of rapidly disseminating urgent CDC guidance and information to the Public Health officials responsible for the response to an emergent health event. In order to meet this goal, all of the data collected are necessary, yet minimal.
11	**Explain why the information is being collected.**	The collected information is being collected to ensure that vital CDC information reach front-line Public Health officials during an emergency response or other emergent health event. In order to meet this goal, the HAN staff collects only the information needed to contact these officials as quickly as possible. The intent of the HAN Messaging System is to reach the primary recipients, listed above, within one hour of the moment a HAN message is initiated.
12	**Identify with whom the agency will share the collected information .**	To date, the CDC has not shared, and has no intention of sharing, the collected information outside the agency. The intent is to maintain the contact information of these Public Health officials within the HAN system, as part of the overall PHIN initiative. Within the agency, the information has only been shared with the Director □s Emergency Operations Center, Epi-X, and the PHIN initiative.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: HAN

13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	The distribution lists are populated by the HAN PHAs, who obtain the information on State officials through their regular contacts within the State Health Departments assigned to them. In most cases, this information is provided by the State HAN Coordinator. Local contacts are collected from a list of local health officers, provided and updated by NACCHO. In some cases, the local health officials or the State HAN Coordinator provide updated contact information for a local contact directly to CDC HAN staff via email or phone call. The Associations list is obtained from the Office of Communication, other Centers/Institutes/Offices (CIOs), and the Director□s Emergency Operations Center. The listing of selected DHHS and CDC personnel is maintained by HAN staff, but provided by the Office of Communication, other Centers/Institutes/Offices (CIOs), and the Director□s Emergency Operations Center.
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	No information will be collected from children under the age of 13.
15	**Describe how the information will be secured.**	The Health Alert Network Messaging system utilizes Microsoft Outlook which is part of the CDC enterprise infrastructure and therefore adheres to same security provisions for data & information contained in these systems. Security of information is in compliance with CDC IT Security standards. This has been reviewed and approved by the CDC Chief Information Systems Security Officer.
16	**Describe plans for retention and destruction of data collected.**	The HAN Program staff will work with the CDC Information Resource Management Office to determine if an additional retention and destruction of data policy needs to be developed, beyond that which is currently in use for CDC enterprise systems. Retention and destruction of information is in compliance with CDC IT Security standards. This has been reviewed and approved by the CDC Chief Information Systems Security Officer.
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	The HAN Program staff will work with the CDC Privacy Act Office to initiate a system of records notice, if deemed necessary
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: HAN

20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: HazDat

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-26
2	**HHS Agency (OPDIV):**	CDC
3	**Title of System or Information Collection:**	HazDat
4	**Is this System or Information Collection new or is an existing one being modified?**	Existing
5	**Unique Project Identifier Number:**	009-20-01-23-01-1000-00
6	**System of Records Number:**	n/a
7	**OMB Information Collection Approval Number and Expiration Date :**	n/a
8	**Other Identifying Number(s):**	n/a
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	Following enactment of CERCLA, EPA developed the Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) identifying Superfund sites and tracking EPA activities. Development of HazDat was initiated in 1989 for tracking and analyses of ATSDR□s legislated responsibilities. The HazDat system was carefully developed to assure compatibility of site-specific data between EPA and ATSDR (for common data elements) and to prevent the proliferation within ATSDR of limited-user, program-specific databases lacking consistent and compatible data elements. The goal is to provide high-quality scientific and administrative information that is readily accessible, accurate and consistent with source documents and agency activities, and responsive to the information needs of the agency.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: HazDat

10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	HazDat contains environmental and health data from ATSDR□s documents, studies, and activities. The system currently contains data related to more than 4,000 hazardous waste sites and includes information from more than 1,900 public health assessments, 6,000 health consultations, 170 health studies, and 150 toxicological profiles, as well as almost 20,000 agency activity records and several hundred health education materials and training activities.
11	**Explain why the information is being collected.**	The system is regularly used to obtain information about specific sites, documents, studies, substances, and activities. In addition, HazDat is indispensable for the timely generation of information provided in agency reports, testimony, and presentations, as well as responses to requests from Congress, other agencies, and the public. The PII is collected to show who is requesting that work be done at sites.
12	**Identify with whom the agency will share the collected information .**	PII is not shared.
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	Data is collected from private citizens by the scientists and entered into the system.
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	No information will be collected from children.
15	**Describe how the information will be secured.**	Must have user id and password to access the system. The PII can only be viewed by the user that enters it. The PII is never contained in any output.
16	**Describe plans for retention and destruction of data collected.**	All data is retained in the system and never archived.
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	No

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: HazDat

18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ICE

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-26
2	**HHS Agency (OPDIV):**	CDC/PGO
3	**Title of System or Information Collection:**	: The Integrated Contracts
4	**Is this System or Information Collection new or is an existing one being modified?**	ICE is an existing system in the process of being modified
5	**Unique Project Identifier Number:**	09-20-01-04-01-1020-02.
6	**System of Records Number:**	Unknown
7	**OMB Information Collection Approval Number and Expiration Date :**	Unknown
8	**Other Identifying Number(s):**	
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The ICE system provides to the Centers for Disease Control and Prevention (CDC) a single system for managing the full procurement cycle from procurement request to closing out a contract for all type of procurements. The ICE systems function is to meet the following Integrated Acquisition objectives: Modern, integrated acquisition automation tool and streamlined processes Reduced cycle times for all types of procurement actions Accurate, real-time acquisition-related information that can be used by management to make strategic and planning decisions Ability to interface with CCR/IVPN Ability to integrate with government-wide standard requirements Ability to perform standard electronic procurement transactions (EDI)

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ICE

10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	The ICE system data consist of acquisition, vendor, and financial data. Vendor data is available from CCR. ICE system administrators currently enter information obtained from the CCR/IVPN for future use by the procurement office in future procurement actions. In the future, ICE will be modified to integrate with CCR/IVPN. Some acquisition information such as proposals, contracts, orders, etc. in Information regarding any contractor/vendor is kept a minimum based on input to the CCR; therefore, ICE only uses information available via that database. Information such as address, social security number and Tax Identification Number (TIN) is used in ICE for the recording of commitment and obligation information to the Financial Management System only. The user only sees the minimal information available in the view for any one vendor. This information only includes the name, address, DUNS and TIN for any contractor. No other information is viewable by the user.
11	**Explain why the information is being collected.**	
12	**Identify with whom the agency will share the collected information .**	PGO□s system must comply with mandatory federal and department (HHS) reporting requirements (FPDS-NG federally and DCIS departmentally, for example). Consequently, the information collected is required so that those reporting requirements above are met and for the purposes of interface with the local financial management system so that the payment of invoices is made using data sent via ICE.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ICE

13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	The collected data will share information with internal CDC offices (financial management; material management, program office); the Department; and, any federal agency requiring the information to be available. Since ICE depends on the mandatory requirement for the vendor to register with CCR/IVPN, we obtain the profile of the contractor that way for input in the ICE Commercial Organization Table . As far as consent and the opportunity for consent that is up to CCR/IVPN; we assume that has been done at that level since those responsible for that network for registration would have to have addressed the issues. We do, however, provide the vendor with the understanding that their information will be shared with the Financial Management System, but that too is based on the requirement for EFT/ACH transactions by Treasury. To improve CDC□s efficiency in the acquisition process an Automated Management Acquisition System (AMAS was identified to facilitate the acquisition of commercial products and services and to transform the acquisition process to accommodate electronic commerce. AMAS was originally developed using the acquisition software developed by the Department of the Navy. PGO requires an application to manage the procurement cycle from submitting a procurement request to closing out a contract for critical CDC procurements. These procurements support large scale programs related, but not limited to, Injury and Prevention, AIDs, TB, chronic illnesses and infectious diseases. Increased efficiency in the procurement process directly relates to increased efficiency of CDC □s ability to perform it□s critical life saving mission. PGO requires a system to automate both small purchase and large contract functionality in a paperless environment as mandated by the Government Paperwork Elimination Act (GPEA). PGO□s system must comply with mandatory federal and department (HHS) reporting requirements. The system is being developed and enhanced to improve CDC□s efficiency in the acquisition process,. The system will facilitate the acquisition of commercial products and services, and transform the acquisition process to accommodate electronic commerce
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	Information will not be collected from children under age 13.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: ICE

15	**Describe how the information will be secured.**	The CDC FAME system is used for user access authentication. ICE relies on the resources, security, and availability of several entities to function as a procurement system. Within the near future, FAME will be replaced by a Windows Access manager. This access management procedure will be applied to all CDC-wide applications at user initial log-in to the network. If a user has access to ICE, all information based on current code is owned by that user. As such, only they have access to it.
16	**Describe plans for retention and destruction of data collected.**	Plans for the retention and destruction of data collected are being developed. Currently all information is retained by individual users within the account they have established
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: IFMS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-12-01
2	**HHS Agency (OPDIV):**	CDC/OCOO
3	**Title of System or Information Collection:**	CDC Integrated Facilities Management System (IFMS)
4	**Is this System or Information Collection new or is an existing one being modified?**	New
5	**Unique Project Identifier Number:**	009-20-02-00-01-1152-00
6	**System of Records Number:**	
7	**OMB Information Collection Approval Number and Expiration Date :**	
8	**Other Identifying Number(s):**	
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The Integrated Facility Management System (IFMS) creates the platform to share information between disparate systems through an intuitive user interface. IFMS will provide significant benefits for the CDC including efficiency, accuracy, cost reduction, emergency preparedness and incident response The IFMS web portal interface will provide immediate access to data across the CDC's private wide area network and provides the tools to measure the performance of CDC building management programs. IFMS is designed to meet the requirements of the variety of users within various Department and Agency CIOs.
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	This system does not collect Personal Identifiers.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: IFMS

11	**Explain why the information is being collected.**	
12	**Identify with whom the agency will share the collected information .**	
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	
15	**Describe how the information will be secured.**	
16	**Describe plans for retention and destruction of data collected.**	
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
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20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: Infrastructure

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-13
2	**HHS Agency (OPDIV):**	CDC/ATSDR
3	**Title of System or Information Collection:**	CDC Information Technology Infrastructure
4	**Is this System or Information Collection new or is an existing one being modified?**	This system is being reported for the first time but is already in operation/ maintenance
5	**Unique Project Identifier Number:**	009-20-02-00-01-1152-00-404-142
6	**System of Records Number:**	
7	**OMB Information Collection Approval Number and Expiration Date :**	
8	**Other Identifying Number(s):**	
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The purpose of CDC□s infrastructure is to provide a range of services that meet the needs of CDC□s public health mission. CDC IT infrastructure functions include acquisition, installation and support of desktop workstations, office automation, directory services, email, Tier-one helpdesk, infrastructure software, internet/intranet /web services, IT security, networking, remote access, server management, telecommunications, and videoconferencing
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	CDC IT Infrastructure is not an application or database that collects collect information but is a general support system that enables CDC□s scientific and administrative systems to operate by providing communications, interoperability, and other IT services. The IT infrastructure is the underlying shared technology on which individual information systems rely. Hence, PIA is applicable tot eh specific information systems and databases that do collect, process, and manage data and information assets.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: Infrastructure

11	**Explain why the information is being collected.**	
12	**Identify with whom the agency will share the collected information .**	
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	
15	**Describe how the information will be secured.**	
16	**Describe plans for retention and destruction of data collected.**	
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NBS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-29
2	**HHS Agency (OPDIV):**	CDC
3	**Title of System or Information Collection:**	NEDSS □ National Electronic Disease Surveillance System □ Base System (NBS)
4	**Is this System or Information Collection new or is an existing one being modified?**	
5	**Unique Project Identifier Number:**	009-20-01-21-01-1010-00
6	**System of Records Number:**	
7	**OMB Information Collection Approval Number and Expiration Date :**	
8	**Other Identifying Number(s):**	
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	NEDSS is designed as the next iteration of CDC□s disease surveillance systems. The system will allow many of the current □silo□ electronic surveillance systems to become part of an integrated, standards-based whole, an initiative strongly supported by OMB and Congress. NEDSS is part of the Public Health Information Network (PHIN). The specific system addressed in this summary is the CDC-developed iteration of NEDSS, called the NEDSS Base System (NBS). Most states have elected to utilize the NBS while some states have decided to develop their own system using the same data models and standards.
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	This system does not collect personally identifiable information at the federal level

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NBS

11 Explain why the information is being collected.

12 Identify with whom the agency will share the collected information .

13 Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.

14 State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)

15 Describe how the information will be secured.

16 Describe plans for retention and destruction of data collected.

17 Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.

18 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):

19 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):

20 The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NEDSS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-29
2	**HHS Agency (OPDIV):**	CDC
3	**Title of System or Information Collection:**	□ National Electronic Disease Surveillance System □ Base System (NBS)
4	**Is this System or Information Collection new or is an existing one being modified?**	
5	**Unique Project Identifier Number:**	009-20-01-21-01-1010-00
6	**System of Records Number:**	N/A
7	**OMB Information Collection Approval Number and Expiration Date :**	N/A
8	**Other Identifying Number(s):**	N/A
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	NEDSS is designed as the next iteration of CDC□s disease surveillance systems. The system will allow many of the current □silo□ electronic surveillance systems to become part of an integrated, standards-based whole, an initiative strongly supported by OMB and Congress. NEDSS is part of the Public Health Information Network (PHIN). The specific system addressed in this summary is the CDC-developed iteration of NEDSS, called the NEDSS Base System (NBS). Most states have elected to utilize the NBS while some states have decided to develop their own system using the same data models and standards.
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	This system does not collect personally identifiable information at the federal level.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NEDSS

11	**Explain why the information is being collected.**	
12	**Identify with whom the agency will share the collected information .**	
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	
15	**Describe how the information will be secured.**	
16	**Describe plans for retention and destruction of data collected.**	
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NEPHTN

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-21
2	**HHS Agency (OPDIV):**	CDC
3	**Title of System or Information Collection:**	National Environmental Public Health Tracking Network (NEPHTN)
4	**Is this System or Information Collection new or is an existing one being modified?**	New
5	**Unique Project Identifier Number:**	009-20-01-21-01-1070-00
6	**System of Records Number:**	
7	**OMB Information Collection Approval Number and Expiration Date :**	
8	**Other Identifying Number(s):**	

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NEPHTN

9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	In January 2001, the Pew Environmental Health Commission, chaired by former Senator Lowell Weicker, Jr., issued a report entitled America□s Environmental Health Gap: Why the Country Needs a Nationwide Health Tracking Network. In this report, the Commission documented that the existing environmental health system was inadequate and fragmented and recommended a □Nationwide Health Tracking Network for disease and exposures□. Surveys conducted by the Pew Commission in the 50 states and selected local jurisdictions found that most have virtually no capacity for environmental health tracking. As a result, fundamental information about community health status and environmental exposures is not available. The Commission survey also determined that the information that is tracked is often not usable for disease prevention, policy, and scientific purposes. For example, state data commonly lack enough samples from defined geographical areas within the states to make it possible to characterize health hazards, exposures, and health outcomes at the local level. Congress responded by appropriating $17.5 million in the fiscal year 2002 budget for the CDC to begin □development and implementation of a nationwide environmental public health tracking network and capacity development in environmental health in state and local health departments□. CDC □s goal for the NEPHTN is to develop a tracking network that integrates data about environmental hazards and exposures with data about health effects that are possibly linked to the environment. By linking environmental and health data on the state and national level we will be better equipped to identify problems and effective solution, thereby reducing the burden of environmental-related disease on the American people. Specifically, the Tracking Network will allow federal, state and local agencies, and others to conduct the following activities: · Monitor and distribute information about environmental hazards and disease trends · Advance research on possible linkages between environmental hazards and disease · Develop, implement, and evaluate regulatory and public health actions to prevent or control environment-related issues
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	This system does not yet exist and is in the initiation stage of the development life-cycle. Thus, the system does not collect personally identifiable data. As the NEPHTN continues through the development life-cycle, emphasis will be placed on meeting the requirements of the privacy provisions of OMB Circular A-11 and the E-Government Act of 2002.
11	**Explain why the information is being collected.**	

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NEPHTN

12	**Identify with whom the agency will share the collected information .**	
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	
15	**Describe how the information will be secured.**	
16	**Describe plans for retention and destruction of data collected.**	
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHANES

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-10
2	**HHS Agency (OPDIV):**	CDC/NCHS
3	**Title of System or Information Collection:**	National Health and Nutrition Examination Survey
4	**Is this System or Information Collection new or is an existing one being modified?**	An existing one that is being maintained with some new development and enhancement
5	**Unique Project Identifier Number:**	: 009200121011040001100 30
6	**System of Records Number:**	09-20-0164
7	**OMB Information Collection Approval Number and Expiration Date :**	OMB # is 0920-0237; expires 05/31/2005
8	**Other Identifying Number(s):**	

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHANES

9 Provide an overview of the system or collection and indicate the legislation authorizing this activity.

The National Center for Health Statistics (NCHS), a component of the Centers for Disease Control and Prevention (CDC), is one of the Federal statistical agencies belonging to the Interagency Council on Statistical Policy (ICSP). The ICSP, which is led by the Office of Management and Budget (OMB), is composed of the heads of the Nation's 10 principal statistical agencies plus the heads of the statistical units of 4 non-statistical agencies. The ICSP coordinates statistical work across organizations, enabling the exchange of information about organization programs and activities, and provides advice and counsel to OMB on statistical activities. The statistical activities of these agencies are predominantly the collection, compilation, processing or analysis of information for statistical purposes. Within this framework, NCHS functions as the Federal agency responsible for the collection and dissemination of the Nation's vital and health statistics. Its mission is to provide statistical information that will guide actions and policies to improve the health of the American people. Since 1960 the National Center for Health Statistics (NCHS) has had the objective of producing vital and health statistics for the United States. NCHS has legislative authority under 42 U.S.C. 242k, Section 306(b) of the Public Health Service Act to collect statistics on the extent and nature of illness and disability of the population; environmental, social and other health hazards; determinants of health; health resources; and utilization of health care. In addition, the National Nutrition Monitoring and Related Research Act (NNMRRA) of 1990 (P.L. 101/445) directs the Department of Health and Human Services to strengthen national nutrition monitoring and to carry out a plan to assess the dietary and nutritional status of the U.S. population on a continuous basis. National Health and Nutrition Examination Survey (NHANES) is the cornerstone of the NNMRRA, providing data needed for nutrition monitoring and food fortification policy, establishing dietary guidelines. Data from NHANES are also used to assess agency and NCHS objectives and initiatives such as Healthy People 2000 and 2010. Other strategic goals of NCHS are to increase the quality of the data collected and to make it more timely. In previous NHANES researchers needed to use the entire four or six year sample to make even the broadest statistical estimates, because data were only representative of the entire population when the entire sample period was used. Researchers sometimes had to wait as long as ten years after data collection before gaining access to data based on an entire six year sample. A major advantage of the current NHANES is the flexibility of changing content, the comprehensive quality assurance and control program, and the ability to provide data much more quickly than previously possible. Emerging public health issues can be incorporated into the survey within two years now, instead of having to wait 10-12 years as was needed

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHANES

		for past survey cycles. The burden on the public is kept minimal, participation is voluntary, and there is no paperwork burden on businesses or health care providers. The technology innovations included in NHANES have resulted in rapid and accurate data collection, data processing, and publication of results.
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	NHANES does a multi-stage probability sample by selecting primary sampling units, segments within a PSU, households within segments, and finally individuals within households. Once individuals are selected through a screening process household interviews are conducted. Upon completion of the household interview participants are invited to receive physical examinations and health and dietary interviews in the NHANES mobile examination center(MEC). Various medical tests and procedures will be conducted to enable analysis of the relationship between health and nutrition status and disease risk factors, to measure the prevalence and co-morbidity of diseases and disorders, to establish reference standards, and to monitor secular trends in health and nutrition status.
11	**Explain why the information is being collected.**	The long-term goals and objectives of NHANES are as follows: a. To estimate the number and percent of persons in the U.S. population and designated subgroups with selected diseases and risk factors; b. To monitor trends in the prevalence, awareness, treatment and control of selected diseases; c. To monitor trends in risk behaviors and environmental exposures; d. To analyze risk factors for selected diseases; e. To study the relationship between diet, nutrition and health; f. To explore emerging public health issues and new technologies; g. To establish a national probability sample of genetic material for future genetic research; and h. To establish and maintain a national probability sample of baseline information on health and nutritional status. The data are used for statistical purposes only. Uses within the Department include the preparation of aggregated data in the form of statistical tables for publication, analysis, and interpretation, to meet the legislative mandates of 42 U.S.C. 242k, i.e., to determine levels of illness and disability and their effects on the population, health and nutrition, and the like.
12	**Identify with whom the agency will share the collected information .**	The agency shares the information with the public by posting all cleaned, edited, and de-identified data on the CDC website for public access.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHANES

13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	Information from NHANES is collected by environmental assessment (dust collection), in-person and telephone interview, direct examinations (including the collection of biologic specimens), and self-administered questionnaire. By written brochure, participants are informed of the objectives, benefits, harms, safety of the survey, as well as the confidentiality of the data collected. Contact information for the survey is also provided. Participation is voluntary and participants are asked to sign consent documents prior to the dust collection, interview, health examination, and collection of blood for future research. The NHANES protocol number 98-12 has NCHS IRB approval through 6/25/2004. The consent brochure informs participants that some information is shared with collaborating agencies for data quality, coding, and record linkage. Participants are also informed they will receive a full report of their clinically relevant examination findings.
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	The Internet is not used to collect any information at this time.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHANES

15 Describe how the information will be secured.

It is the responsibility of all employees of NCHS, including in house contract staff to protect, preserve, and secure all NHANES data (this includes all oral or recorded information in any form or medium) from unauthorized persons and uses. All NCHS employees as well as all contract staff have received appropriate training and made a commitment to assure confidentiality and have signed a "Nondisclosure Statement " (Attachment 9). Staffs of collaborating agencies are also required to sign this statement and agencies may be required to enter into a formal agreement with NCHS before access to identifying or identifiable information is permitted. It is understood that protection of the confidentiality of records is a vital and essential element of the operation of NCHS, and that Federal law demands that NCHS provide full protection at all times of the confidential data in its custody. Only authorized personnel are allowed access to confidential records and only when their work requires it. When confidential materials are moved between locations, records are maintained to insure that there is no loss in transit and when confidential information is not in use, it is stored in secure conditions. NCHS policy requires physical protection of records in the field, and has delineated these requirements for the prime data collection contractor. The prime data collection contractor also has its own policy and procedures regarding assurance of confidentiality and a pledge that all employees involved in NHANES must sign. The prime data collection contractor provides all safeguards mandated by Privacy and Confidentiality Acts to protect the confidentiality of the data gathered by the NHANES integrated survey information system (ISIS) data collection process. The prime data collection contractor data security procedures fully comply with security requirements delineated by the Information Resources Management Office of CDC. It is the Center's policy to make its files on NHANES data available via public use data tapes to the scientific community so that additional analyses can be made of these data for the benefit of the U.S. population. Confidential data will never be released to the public. For example, all personal identifiers are removed from the file; i.e., name, address, location number, sample person number, etc. A concerted effort is made to avoid any disclosures, such as detailed geographic information that may allow a researcher to go back and find individuals in the general population. Safeguards: Confidential data are protected by section 308(d) of the Public Health Service Act. Measures to prevent unauthorized disclosures are implemented as appropriate for the particular records maintained. NCHS and its contractors implement personnel, physical and procedural safeguards as follows: a. Authorized Users: Persons authorized and needing to use the records, including Project Directors, contract officers, interviewers, analysts, statisticians, statistical clerks, and data entry

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHANES

personnel on the staffs of the Center and the contractors. b. Physical Safeguards: The manual portions of the records are stored in locked files or offices when not in use. Building security in Hyattsville, MD includes access controlled by a security guard and the use of identification badges by employees. c. Procedural Safeguards: All employees of NCHS and contractor personnel with access to NCHS records are required, as a condition of employment, to sign an affidavit binding them to nondisclosure of individually identifiable information and to view an NCHS video tape addressing confidentiality and systems security. Periodic correspondence is sent to staff to reinforce confidentiality regulations, guidelines, and procedures. Protection for computerized records both on the mainframe and the CIO Local Area Network (LAN) includes programmed verification of valid user identification code and password prior to logging on to the system, mandatory password changes, limited log-ins, virus protection, and user rights/file attribute restrictions. Password protection imposes user name and password log-in requirements to prevent unauthorized access. Each user name is assigned limited access rights to files and directories at varying levels to control file sharing. There are routine daily backup procedures and Vault Management System for secure off-site storage is available for backup tapes. Additional safeguards may be built into the program by the system analyst as warranted by the sensitivity of the data. Contractors who maintain records in the system are instructed to make no further disclosure of the records. Privacy Act and Section 308(d) of the Public Health Service Act requirements are specifically included in contracts for survey and research activities related to this system. The HHS Project Directors, contract officers, and project officers oversee compliance with these requirements. d. Implementation Guidelines: These safeguards are established in accordance with guidelines in Chapter 45-13, " Safeguarding Records Contained in Systems of Records," of the HHS General Administration Manual; the HHS Automated Information Systems Security Manual; and the NCHS Staff Manual on Confidentiality. Data maintained in CDC Atlanta□s Processing Center are in compliance with OMB Circular A-130, Appendix III. Security is provided for information collection, processing, transmission, storage, and dissemination in general support systems and major applications. The CIO LAN currently operates under Novell v. 4.11 and is in compliance with "CDC & ATSDR Security Standards for Novell File Servers." e. NHANES Specific System Safeguards. Every month the NHANES network is scanned for potential security breaches and log files are reviewed weekly. Additionally, virus protection programs, operating systems, and security systems are patched and updated as needed. Some of the potential risks to survey operations include disruption of network service,

OPDIV: CDC System Name: NHANES

server failure, desktop system failure, physical break-in to the MECs, laboratory equipment failure, Y2K, viruses and network attacks. Each of these risks will now be assessed: a. Network service - NHANES maintains redundant connections to the field. Primary service consists of a frame-relay network with backup ISDN and analog communications. In the event of failure on the frame-relay network NHANES automatically rolls-over to ISDN or analog service. This system has proved to be extremely effective with little downtime. b. Server failure - the database servers in the field maintain automatic roll-over RAID systems, redundancy network connections and dual-boot servers in the event of a primary failure. The servers are connected to an uninterruptible power supply (UPS) with a 3 hour charge to insure clean power and a safe shutdown in the event of a major failure. These servers are in operations 7 days a week. Power failures have occurred, but the UPS have worked as planned. c. Desktop systems - standard desktop PC systems are deployed examination components so that the survey is not dependent proprietary solutions (with the exception of specialized biomedical equipment). In addition, software is developed with a standard software development environment to insure consistency across all systems. Each system is connected to a small UPS to insure clean power and a safe shutdown in the event of a major failure. This has been tested and works as planned. d. Physical break-in to the MECs and field office - the MECs have a security system that automatically contacts local police and appropriate staff in the event of a break-in or fire. The MEC is also monitored for temperature and humidity changes. In addition, in large cities NHANES maintains on -site security guard to protect the MEC. e. Laboratory equipment failure - since NHANES collects blood samples that must be maintained on-board before shipment, freezers are connected to temperature monitors to insure the equipment is operating properly. In the event of failure appropriate staff is notified to eliminate the loss of samples. f. Y2K - NHANES followed the guidelines as developed by CDC to evaluate the project for Y2K risks. A report was delivered to CDC showing that the system operated properly under all the roll-over conditions. In addition, network systems, servers, databases and biomedical equipment received Y2K certification from manufactures. All equipment has functioned properly on roll-over to January 1, 2000. g. Viruses - NHANES has taken an integrated approach to reducing the risk associate with viruses. First most field systems do not have email capability. In addition desktop systems and servers are regularly scanned for viruses. The development environment at the data collection contractor does allow for email service but uses Norton anti-virus to protect against problems. Since NCHS is connected to the data collection contractor over a dedicated high-speed line,

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OPDIV: CDC System Name: NHANES

NHANES does not allow email to move through this connection thereby protecting NCHS and CDC resources. To date NHANES has not had viruses affect field operations. h. Network attacks - NHANES maintains a wide area network that is connected to NCHS corporate offices and the NHANES prime contractor. In the event of an attack to corporate facilities NHANES can disconnect itself from these resources physically or logically. In addition, NCHS corporate and the prime contractor corporate can disconnect themselves from NHANES in the event that NHANES endured an attack from some source. i. The NHANES program undergoes yearly reviews of the security of the program and works closely with the CDC Information System Security Officer (ISSO) and NCHS ISSO to insure limited risk and maximum physical and information security. Along these lines the CDC ISSO and NCHS ISSO have conducted site visits to the contractor facility, NCHS NHANES facility and to field sites. These visits have included briefings on network and system security and review of procedures. j. Disclosure review □ the NHANES program has all data reviewed by the NCHS disclosure review board (DRB), an independent body at NCHS, prior to releasing data to the public. This is done to ensure that all confidential data are protected and not inadvertently released. This review includes regularly scheduled meetings with the NCHS DRB along with briefings for NHANES staff at NCHS and those contractor staff in the field. The Privacy Act of 1974 (5 U.S.C. 552a) "requires the safeguarding of individuals, and Section 308(d) of the Public Health Service Act (42 U.S.C. 242m) requires the safeguarding of both individuals and establishments against invasion of privacy. Contractors who collect information identifying individuals and/or establishments must stipulate the appropriate safeguards to be taken regarding such information. The Privacy Act also provides for the confidential treatment of records of individuals, which are maintained by a Federal agency according to either individual's name or some other identifier. This law also requires that such records in NCHS are to be protected from uses other than those purposes for which they were collected." Section 308(d) of the Public Health Service Act (42 U.S.C. 242m) provides NCHS with authority to collect information and stipulates that: "No information, if an establishment or person supplying the information or described in it is identified, obtained in the course of activities undertaken or supported under section 304, 305, 306, 307, or 309 may be used for any purpose other than the purpose for which it was supplied unless such establishment or person has consented (as determined under regulations of the Secretary) to its use for such other purpose and (1) in the case of information obtained in the course of health statistical or epidemiological activities under section 304 or 306, such information may not be published or

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHANES

		released in other form if the particular establishment or person supplying the information or described in it is identifiable unless such establishment or person has consented (as determined under regulations of the Secretary) to its publication or release in other form. . . ." k. Security review - NHANES has undertaken security evaluation risk assessments with the CDC and NCHS ISSOs, staff from the CDC IRMO Network Technology Branch, SRA International, and TRW. These groups in part or whole have conducted thorough reviews of the NHANES network architecture, system architecture and system/network security in April 2000 and again in 2003.
16	**Describe plans for retention and destruction of data collected.**	Retention and disposal: Original survey records are reviewed for accuracy, edited, and data are transferred to tape, disk storage, or to the Internet. The original records are retained at NCHS or on the CDC mainframe in Atlanta until the process of conversion to computer tape and verification of information is completed. Original records are sent to the Federal Records Center in accordance with the NCHS Records Management Schedule.
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	System name: Health and Demographic Surveys Conducted in Probability Samples of the United States Population. HHS/CDC/NCHS. Privacy Act System Notice 09-20-0164
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHIS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-26
2	**HHS Agency (OPDIV):**	National Center for Health Statistics (NCHS)
3	**Title of System or Information Collection:**	National Health Interview Survey
4	**Is this System or Information Collection new or is an existing one being modified?**	modified
5	**Unique Project Identifier Number:**	009-20-01-06-01-1020-02
6	**System of Records Number:**	09-20-0164
7	**OMB Information Collection Approval Number and Expiration Date :**	0920-0214, expires 04/30/2005
8	**Other Identifying Number(s):**	n/a

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHIS

9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The National Health Interview Survey (NHIS) is a multi-purpose health survey of the civilian non-military population conducted by the National Center for Health Statistics (NCHS), which has produced annual data since 1957. NHIS data are used to describe the health of the US population, monitor trends in national health objectives, set and evaluate health policies, and perform methodological and epidemiological research on important health issues. Findings are generalizable to the US household population but have also been used to explore issues at the regional and state level. Since 1960, the NCHS has had the objective of producing vital and health statistics for the United States. NCHS has legislative authority under 42 U.S.C. 242k, Section 306(b) of the Public Health Service Act to collect statistics on the extent and nature of illness and disability of the population; environmental, social and other health hazards; determinants of health; health resources; and utilization of health care. The NHIS is a multi-purpose health survey conducted by NCHS in support of this legislative charge. It is the principal source of information on the health of the civilian, non-institutionalized population of the United States. Data from NHIS are used to assess agency and NCHS objectives, and initiatives such as Healthy People. Other strategic goals of NCHS are to increase the quality of the data collected and to make it more timely

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHIS

10 Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.

The mission of the NCHS is to provide statistical information that will guide actions and policies to improve the health of the American people. As the Nation's principal health statistics agency, NCHS is responsible for providing accurate, relevant, and timely data. The NHIS collects information along many different domains including health status, health conditions, health behaviors and risk factors, utilization of and access to healthcare, socio-demographic, and economic data. This multitude of variables and the large, nationally representative sample allows NHIS data to be used to characterize the level of the entire population plus many subgroups such as the elderly, women, racial/ethnic minorities, persons with low income, and persons without health insurance. This ability to finely disaggregate data enables policy makers, researchers, evaluators, interested citizens, journalists, and other users to address a wide range of health and welfare-related issues at the national level. The NHIS is comprised of Core and Supplement questions. The Core questions remain the same from year-to-year and are used as a baseline to track health objectives designated by the Department of Health and Human Services (DHHS), identify emerging trends in health status and health care, and provide timely and accurate national estimates of health insurance coverage. Supplements vary from year-to-year and are more focused on specific or topical public health concerns. Three recent topics covered by supplements are measuring DHHS national health objectives, cancer prevention, and children□s mental health. Supplements are sponsored through partnerships between NCHS and other agencies. For the previously mention supplements, NCHS partnered with were the National Center for Chronic Disease Prevention and Health Promotion, the National Cancer Institute, and the National Institute for Mental Health, respectively. By collaborating with other DHHS agencies in a coordinated and coherent plan, the NHIS is able to provide the Department with necessary and topical data for Departmental initiatives. Data from NHIS support DHHS, CDC, and NCHS objectives and initiatives, such as Healthy People. Links to the Medical Expenditure Panel Survey (MEPS), the National Health and Nutrition Examination Survey (NHANES), and the National Death Index (NDI) place the NHIS soundly within the department-wide Survey Integration Plan.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHIS

11 Explain why the information is being collected.

Since 1960, the National Center for Health Statistics (NCHS) has had the objective of producing vital and health statistics for the United States. NCHS has legislative authority under 42 U.S.C. 242k, Section 306(b) of the Public Health Service Act to collect statistics on the extent and nature of illness and disability of the population; environmental, social and other health hazards; determinants of health; health resources; and utilization of health care. The National Health Interview Survey (NHIS) is a multi-purpose health survey conducted by NCHS in support of this legislative charge. It is the principal source of information on the health of the civilian, non-institutionalized population of the United States. The data collected through the NHIS are used for statistical purposes only. Uses within the Department include the preparation of aggregated data in the form of statistical tables for publication, analysis, and interpretation, to meet the legislative mandates of 42 U.S. C.24k, i.e. to determine levels of illness and disability and their effects on the population, the use of health care facilities, trends in family formation and dissolution, etc.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHIS

12 Identify with whom the agency will share the collected information .

The customers of the NHIS are government agencies (federal, state, and local level) , international, national, state and community organizations, private researchers, academia, consumer groups, companies, and health care providers. Examples of federal agencies who are recent customers include: the Centers for Medicare and Medicaid Services, the Environmental Pollution Agency, the Food and Drug Administration, General Accounting Office, National Cancer Institute, the National Institute on Aging, the National Institute for Mental Health, and the Veterans Administration. Many organizations have a vested interest in assuring the success and continuity of the NHIS. These organizations include; the Department of Health and Human Services (DHHS), the Agency for Healthcare Research and Quality (AHRQ), and others such as the Bureau of Census(BoC) and policy makers. Through partnerships with NCHS, other agencies within DHHS are able to piggyback on the NHIS infrastructure, expressing the NHIS as a significant DHHS asset. One example is the collaborative efforts between NCHS/DHIS and other DHHS agencies to collect data on topical public health subjects by fielding NHIS Supplements. The AHRQ follows up with half of the NHIS sample on its Medical Expenditure Panel Survey (MEPS). By NHIS providing the MEPS sample, AHRQ was able to save an estimated eight million dollars on its 1996 reengineering project and continues to save budget by forgoing annual listing and other sampling costs. Sharing a sample also allows for a NHIS/MEPS linkage file which enables users to link persons in the MEPS public use file to the records of the same person in the NHIS data file. This adds the broad array of NHIS information to the more specific MEPS data and allows for broad multivariate analyses. The agency shares the information with the public by posing all cleaned, edited, and de-identified data on the CDC website for public access.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHIS

13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	The NHIS collects data in all 50 states through a collaborative effort with the Bureau of the Census (BOC), using a personal household interview. Each year, BOC Field Representatives (FRs) visit approximately 40,000 households and collect data on over 100,000 people. Data for the NHIS is collected through the use of a questionnaire developed expressly for the NHIS and administered by professional interview FRs trained in survey interview techniques. Several weeks before the interview, an advance letter is sent to the sampled household describing the NHIS and policies guaranteeing the respondent□s confidentiality. An 800 phone number is provided in case the potential respondent has further questions regarding the survey. The survey is administered by highly trained Census FRs using a computer assisted personal interview (CAPI) instrument that resides on a laptop computer. The FR enters the responses directly into the computer. Prior to beginning the interview the FR reviews the purpose and content of the survey questionnaire with each potential respondent, and provides written materials with information on the objectives and benefits of the survey, as well as information on the confidentiality of the data collected. The NCHS Institutional Review Board (IRB) reviews NHIS content each year, as an advocate for the potential respondent. Participation in the survey is voluntary.
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	Information for the National Health Interview Survey is not collected via the Internet for any respondents, including any children under age 13.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHIS

15 Describe how the information will be secured.

It is the responsibility of all employees of NCHS, including in house contract staff to protect, preserve, and secure all NHIS data (this includes all oral or recorded information in any form or medium) from unauthorized persons and uses. All NCHS employees as well as all contract staff have received appropriate training and made a commitment to assure confidentiality and have signed a "Nondisclosure Statement ". Staffs of collaborating agencies are also required to sign this statement and outside agencies are required to enter into a more formal agreement with NCHS before access to identifying or identifiable information is permitted. It is understood that protection of the confidentiality of records is a vital and essential element of the operation of NCHS, and that Federal law demands that NCHS provide full protection at all times of the confidential data in its custody. Only authorized personnel are allowed access to confidential records and only when their work requires it. When confidential materials are moved between locations, the items are tracked to insure that there is no loss in transit and when confidential information is not in use, it is stored in secure conditions. It is the Center's policy to make its files on NHIS data available via public use data tapes to the scientific community so that additional analyses can be made of these data for the benefit of the U.S. population. Confidential data will never be released to the public. For example, all personal identifiers are removed from the file; i.e., name, address, location number, sample person number, etc. A concerted effort is made to avoid any disclosures, such as detailed geographic information that may allow a researcher to go back and find individuals in the general population. Safeguards: Confidential data are protected by section 308(d) of the Public Health Service Act. Measures to prevent unauthorized disclosures are implemented as appropriate for the particular records maintained. NCHS and its contractors implement personnel, physical and procedural safeguards as follows: Authorized Users: Persons authorized and needing to use the records, including Project Directors, interviewers, analysts, statisticians, and IT specialists on the staffs of NCHS and the Bureau of Census (BoC). BoC is responsible for all NHIS field operations. BoC has its own legislation (Title 13, United States Code) safeguarding respondent confidential information collected by BoC issued for statistical purposes. No information that could identify a person can be released. Data Transmission Safeguards: Data is transferred on CDs between the Bureau of Census (BoC) and NCHS by a bonded courier. Physical Safeguards: The CD□s and hard copy printouts of records are stored in locked files or offices when not in use. Building security in Hyattsville, MD includes access controlled by a security guard and the use of identification badges by employees. Procedural Safeguards: All employees of NCHS and contractor personnel with access to NHIS

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHIS

records are required, as a condition of employment, to sign an affidavit binding them to nondisclosure of individually identifiable information and to view an NCHS video tape addressing confidentiality and systems security. Periodic correspondence is sent to staff to reinforce confidentiality regulations, guidelines, and procedures. Protection for computerized records both on the mainframe and the CIO Local Area Network (LAN) includes programmed verification of valid user identification code and password prior to logging on to the system, mandatory password changes, limited log-ins, virus protection, and user rights/file attribute restrictions. Password protection imposes user name and password log-in requirements to prevent unauthorized access. Each user name is assigned limited access rights to files and directories at varying levels to control file sharing. There are routine daily backup procedures and Vault Management System for secure off-site storage for backup tapes. Additional safeguards may be built into the program by the system analyst as warranted by the sensitivity of the data. Implementation Guidelines: These safeguards are established in accordance with guidelines in Chapter 45-13, " Safeguarding Records Contained in Systems of Records," of the HHS General Administration Manual; the HHS Automated Information Systems Security Manual; and the NCHS Staff Manual on Confidentiality. Data maintained in CDC Atlanta□s Processing Center are in compliance with OMB Circular A-130, Appendix III. Security is provided for information collection, processing, transmission, storage, and dissemination in general support systems and major applications. The CIO LAN currently operates under Novell v. 4.11 and is in compliance with "CDC & ATSDR Security Standards for Novell File Servers." Disclosure review: The NHIS program has all data reviewed by the NCHS disclosure review board (DRB), an independent body at NCHS, prior to releasing data to the public. This is done to ensure that all confidential data are protected and not inadvertently released. This review includes regularly scheduled meetings with the NCHS DRB along with briefings for NHIS staff at NCHS. The Privacy Act of 1974 (5 U.S.C. 552a) "requires the safeguarding of individuals, and Section 308(d) of the Public Health Service Act (42 U.S.C. 242m) requires the safeguarding of both individuals and establishments against invasion of privacy. Contractors who collect information identifying individuals and/or establishments must stipulate the appropriate safeguards to be taken regarding such information. The Privacy Act also provides for the confidential treatment of records of individuals, which are maintained by a Federal agency according to either individual's name or some other identifier. This law also requires that such records in NCHS are to be protected from uses other than those purposes for which they were collected." Section 308(d) of the Public Health Service Act (42 U.S.C. 242m)

provides NCHS with authority to collect information and stipulates that: "No information, if an establishment or person supplying the information or described in it is identified, obtained in the course of activities undertaken or supported under section 304, 305, 306, 307, or 309 may be used for any purpose other than the purpose for which it was supplied unless such establishment or person has consented (as determined under regulations of the Secretary) to its use for such other purpose and (1) in the case of information obtained in the course of health statistical or epidemiological activities under section 304 or 306, such information may not be published or released in other form if the particular establishment or person supplying the information or described in it is identifiable unless such establishment or person has consented (as determined under regulations of the Secretary) to its publication or release in other form. . . ." Security review: NHIS has undertaken security evaluation risk assessments with the CDC and NCHS ISSOs, staff from the CDC IRMO Network Technology Branch, SRA International, and Northrop-Grumman. These groups in part or whole have conducted thorough reviews of the NHIS network architecture, system architecture and system/network security during 2003.

16 Describe plans for retention and destruction of data collected.

CDs containing NHIS raw data files, including files with confidential data, are transmitted from Census in batches of 2-4 weeks at regular intervals during the data collection year. These CDs are retained in a locked secured area at NCHS and access to these CDs is limited to authorized staff. The CDs will be destroyed in accordance with the NCHS Records Management schedule, currently 8 years after data collection. In addition, Census keeps copies of all NHIS raw data at their facility, which serves as an additional back-up of NHIS data. Census does not plan to destroy this data. Files (some with confidential identifiers such as names, addresses, phone numbers, SSN, etc.) are extracted from the CDs and uploaded to the CDC mainframe in Atlanta. Other data files extracted from the CDs, not containing confidential identifiers, are uploaded to the mainframe and stored in separate libraries. This data goes through the various stages of post-processing, including edits, recodes, and the creation of final in-house and public use files. After final public use release of the data, back-up copies of final in-house data, processing files, and related documentation are created and sent to off-site storage from the CDC Mainframe facility in Atlanta. These files are kept indefinitely.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NHIS

17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	System name: Health and Demographic Surveys Conducted in Probability Samples of the United States Population. HHS/CDC/NCHS. Privacy Act System Notice 09-20-0164
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NVSS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-28
2	**HHS Agency (OPDIV):**	HHS/CDC/NCHS/DVS
3	**Title of System or Information Collection:**	Vital Statistics for Births, Deaths, and Fetal Deaths Occurring in the United States During Each Year. HHS/CDC/National Center for Health Statistics (NCHS)
4	**Is this System or Information Collection new or is an existing one being modified?**	Information Collection is
5	**Unique Project Identifier Number:**	009-20-01-06-01-1030-02
6	**System of Records Number:**	09-20-0166
7	**OMB Information Collection Approval Number and Expiration Date :**	n/a
8	**Other Identifying Number(s):**	n/a
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	Authority for maintenance of the system: Public Health Service Act, Section 306(h) (42 U.S.C. 242k). The National Vital Statistics System (NVSS) is one component of NCHS□s health data collection program and is operated by NCHS to fulfill its legislatively mandated mission to produce national vital statistics based on data from the nation□s birth and death records. The NVSS is a cooperative, decentralized system in which data from over 6 million vital event records are collected each year by all States and U.S. territories and transmitted to the NCHS for processing and dissemination. NCHS is responsible for administering the NVSS, which produces the nation□s official vital statistics. These data are provided through State owned and operated registration systems, which collect the data on birth and death records submitted to State Registrars by physicians, medical examiners, coroners, hospitals, and funeral homes.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NVSS

10 Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.

The NCHS receives either machine-readable data or microfilm of records prepared by States from records collected under the laws of each State for births, deaths, and fetal deaths. The records contain the demographic characteristics of individuals associated with each event. In addition, the birth records include information on the characteristics of each live birth, the health status of the infant, and socioeconomic characteristics of the parents. The death records contain socioeconomic characteristics of the deceased and medical information relating to cause of death; the fetal death record contains socioeconomic characteristics of the parents and medical information relating to cause of death. Through the NVSS, national data on vital events (births, deaths, and fetal deaths) are produced in both published and electronic form, including the annual report Vital Statistics of the United States, National Vital Statistics Reports (formerly the Monthly Vital Statistics Report), and other reports on selected topics. Standard forms for the collection of the data referred to as the U.S. Standard Certificates of Birth and Death and Fetal Death--and model procedures for the uniform registration of vital events throughout the U.S. are developed and recommended for State use through cooperative activities of the States and the NCHS. These standard certificates have been revised every decade since 1900 with the goal of updating the content of these records to reflect current public health issues as well as medical practice and knowledge. Collaboration in these decennial review processes is provided by representatives from professional organizations, including the American Medical Association, the College of American Pathologists, the American College of Obstetricians and Gynecologists, the American Hospital Association, the National Association of Medical Examiners, and the National Association of Funeral Directors. The information provided on the standard certificates is regarded by the public health community as the minimum data that should be collected with respect to all births, deaths, and fetal deaths occurring in the U.S. Content of the standard certificates is approved by the Secretary, DHHS.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NVSS

11	**Explain why the information is being collected.**	The data are used only for statistical purposes in issues or activities relating to public health and population. Uses within the Department of Health and Human Services include the preparation of aggregated data in the form of statistical tables for publication, analysis, and interpretation to meet the legislative mandates of 42 U.S.C . 242k, i.e., to determine the extent and nature of illness and disability of the population of the U.S., including life expectancy and levels of infant and maternal mortality, environmental and other health hazards, trends in family formation and population change, to expand the scope of data that NCHS can collect from the national registration system, to make the registration system more responsive to changing needs for data, and to evaluate the quality of data collected on the birth and death records.
12	**Identify with whom the agency will share the collected information .**	Published reports prepared by NCHS staff or contractors are available to the public generally. Electronic microdata files containing no personally identifiable information are provided to the public as well. With the permission of the data provider (e.g. State Registrars) in a restricted data access program, electronic files containing additional detail is provided to qualified researchers who have signed a Restrictive Confidentiality Agreement. The Department occasionally contracts with a private firm for the purpose of collecting, analyzing, aggregating, or otherwise refining records in this system. Relevant records are disclosed to such a contractor. The contractor is required to maintain Privacy Act safeguards and to strictly follow Section 308(d) of the Public Health Service Act. NCHS may disclose selected identifiable information to authorized recipients such as the Social Security Administration for statistical analysis purposes only, consistent with the requirements of Section 308(d) of the Public Health Service Act and the Privacy Act.
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	Through annual contracts with the States, NCHS shares the costs incurred by the States in providing vital statistics data for national use. These contracts specify how NCHS will use the data. Most States submit vital statistics data on computer tape or PC-to-PC via modem, showing the State file number for each case but no names or addresses. A few States submit microfilm copies of certificates of death, and statistics are extracted from them. These microfilms contain individual identifiers; they are the only individually identified records in the system. (State laws and regulations dictate how and by whom vital events are registered and what data are to be collected. To implement these laws, the State Vital Registration offices work directly with hospital, physicians, and funeral homes. NCHS has no direct or official role in this data collection process.)

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NVSS

14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	This question is not applicable to the National Vital Statistics System.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NVSS

15 Describe how the information will be secured.

Measures to prevent unauthorized disclosures are implemented as appropriate for the particular records maintained. NCHS and its contractors implement personnel, physical and procedural safeguards as follows: a). Authorized Users: Persons authorized and needing to use the records, including Project Directors, contract officers, interviewers, analysts, statisticians, statistical clerks, and data entry personnel on the staffs of the Center and the contractors. b). Physical Safeguards: The manual portions of the records are stored in locked files or offices when not in use. Building security in Hyattsville, MD includes the use of identification badges by employees and a card key system used to enter NCHS occupied space. In the Research Triangle Park, North Carolina facility access is controlled by a security guard, a card key system, and the use of identification badges by employees. c). Procedural Safeguards: All employees of NCHS and contractor personnel with access to NCHS records are required, as a condition of employment, to sign an affidavit binding them to nondisclosure of individually identifiable information and to view an NCHS video tape addressing confidentiality and systems security. Periodic correspondence is sent to staff to reinforce confidentiality regulations, guidelines, and procedures. Protection for computerized records both on the mainframe and the CIO Local Area Network (LAN) includes programmed verification of valid user identification code and password prior to logging on to the system, mandatory password changes, limited log-ins, virus protection, and user rights/file attribute restrictions. Password protection imposes user name and password log-in requirements to prevent unauthorized access. Each user name is assigned limited access rights to files and directories at varying levels to control file sharing. There are routine daily backup procedures and Vault Management System for secure off-site storage is available for backup tapes. Additional safeguards may be built into the program by the system analyst as warranted by the sensitivity of the data. Contractors who maintain records in the system are instructed to make no further disclosure of the records. Privacy Act and Section 308(d) of the Public Health Service Act requirements are specifically included in contracts for survey and research activities related to this system. The HHS Project Directors, contract officers, and project officers oversee compliance with these requirements. d). Implementation Guidelines: These safeguards are established in accordance with guidelines in Chapter 45-13 of the HHS General Administration Manual, entitled " Safeguarding Records Contained in Systems of Records; and the NCHS Staff Manual on Confidentiality. Data maintained in CDC Atlanta□s Processing Center are in compliance with OMB Circular A-130, Appendix III. Security is provided for information collection, processing, transmission, storage, and dissemination in

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NVSS

		general support systems and major applications. The CIO LAN currently operates under Novell v. 4.11 and is in compliance with "CDC & ATSDR Security Standards for Novell File Servers."
16	**Describe plans for retention and destruction of data collected.**	The microfilm copies of the individually identifiable death records are retained in locked office files of NCHS until the process of conversion to computer tape and verification of information is completed. Electronic files of national vital records data, including State certificate numbers, are retained in a secure environment by NCHS in perpetuity. System manager(s) and address: Director, National Center for Health Statistics, Prince George□s Metro IV Bldg., MS P08, Centers for Disease Control and Prevention, 3311 Toledo Road, Hyattsville, MD 20782.
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	With respect to this system of records, exemption has been granted from the requirements contained in subsections 552a(c)(3), (d)(1) through (4), and (e)(4)(G) and (H) in accordance with the provisions of subsection 552a(k)(4) or the Privacy Act of 1974. The reason that the system has been exempted is that this system contains only records required by statute to be maintained and used solely as statistical records. The exemption was published in the Federal Register, October 8, 1975, page 47413. Access to record systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the system manager. Positive identification is required from anyone seeking access. Appeal of access refusal may be made to the Director, Office Management, Public Health Service. An individual may also request an accounting of disclosures of his or her record, if any. If access has been granted, procedure is to contact the system manager and reasonably identify the record, specify the information being contested, and state the corrective active sought, with supporting information to show how the record is inaccurate, incomplete, untimely, or irrelevant. However, because data from vital statistics records are obtained from State Vital Registration Offices, the original certificates of birth and death are retained in the State Vital Registration Offices and only State Registrars have the authority under State laws to make changes in registered certificates.
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: NVSS

20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: OMS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-12-01
2	**HHS Agency (OPDIV):**	Centers for Disease Control and Prevention
3	**Title of System or Information Collection:**	Outbreak Management System
4	**Is this System or Information Collection new or is an existing one being modified?**	New
5	**Unique Project Identifier Number:**	n/a
6	**System of Records Number:**	n/a
7	**OMB Information Collection Approval Number and Expiration Date :**	n/a
8	**Other Identifying Number(s):**	n/a

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: OMS

9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	During a public health investigation, the Outbreak Management System will be utilized by field staff in order to accumulate, analyze, report, data related to diseases outbreaks and emergency response in a consistent manner. These systems will accumulate possible case, contacts, possible threats, facility, geospatial, specimen, prophylaxis, vaccination and other emergency response data. They will securely connect to corresponding systems developed at the CDC to store and present these data to public health emergency response decision makers. They will also facilitate field access to communication tools and CDC polices protocols and other support information. Under the Public Health Services Act, 42 U.S.C. 241, 317 and 319A, the Centers for Disease Control and Prevention is authorized to maintain active surveillance of diseases through epidemiologic and laboratory investigations and data collection, analysis, and distribution. If the data source is a covered entity under the Health Insurance Portability and Accountability Act and the data provided is identifiable, this disclosure is permissible as a disclosure to a public health authority authorized by 45 CFR 164.512(b). Data provided to CDC under this agreement is done so in accordance with applicable data rights and related agreements.
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	Any personally identifiable information collected is used only for purposes of outbreak investigation and containment. Some follow up studies may be done on data in the system but these studies are done using de-identified data unless specific IRB approvals are attained.
11	**Explain why the information is being collected.**	The Outbreak Management System is only used during a public health investigation. Collection of personal identifying information is not mandated in the system, but under certain scenarios, personally identifiable information will be collected to track cases and contacts during a disease outbreaks and outbreak investigations for follow up, quarantine and monitoring.
12	**Identify with whom the agency will share the collected information .**	During a public health investigation, information in the system is shared with state/ local partners in the jurisdiction where the persons reside or become ill. This information is only shared for the purposes of outbreak investigation and containment and only in conjunction with activities supporting the state/local partners .

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: OMS

13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	The information will only be obtained in a public health investigation by public health investigators. Information collection and notification of persons will vary based on state and local laws and the circumstances of the outbreak investigation. If follow up studies are performed as a follow up to the outbreak investigation, IRB regulations are followed for use of existing or collection of further information.
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	Not applicable. No information will be collected through the Internet from children.
15	**Describe how the information will be secured.**	System information is stored in a Microsoft SQL server database with user level authentication and authorization constraints in place. This database is self-contained on remote hardware without a persistent connection to the Internet. Since the system is field deployed, file level encryption protects the database files from unauthorized access. Information exchanged is secured via encrypted transmissions using public/ private key encryption.
16	**Describe plans for retention and destruction of data collected.**	Since the system is used only during a public health investigation, information in the system is cleared from the database when the investigation is completed to ready the system for the next investigation. System data is archived but processes are in place to de-identify data for use in further studies.
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	n/a
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PEMS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2004-08-18
2	**OPDIV:**	CDC
3	**Title of System or Information Collection:**	CDC HIV Prevention Program Evaluation and Monitoring System (PEMS)
4	**Is this system or information collection new or is an existing one being modified?**	New
5	**Does this system collect, maintain, and/or disseminate information in identifiable form (IIF)?**	N
6	**Identify a point of contact to whom a member of the public can address questions concerning this information system and the privacy concerns associated with it.**	Betsey Dunaway
7	**Unique Project Identifier Number:**	009-20-01-02-01-1260-00-110-031
8	**System of Records Number:**	n/a
9	**OMB Information Collection Approval Number and Expiration Date:**	n/a
10	**Other Identifying Number(s):**	n/a

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PEMS

11	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The Program Evaluation and Monitoring System (PEMS) is a replacement for the current HIV evaluation systems used by the Centers for Disease Control and Prevention (CDC), National Center for HIV, STD, and TB Prevention□s Division of HIV/AIDS Prevention (DHAP). This new system replaces narrative progress reports and non-standardized, aggregate data reports and the current HIV Counseling and Testing system with a robust system for program evaluation and monitoring that includes reporting requirements, standardized data variables, associated protocols, manuals, and tools. The legislative authority for this activity are the following: Public Health Service Act □ Sections 301(a) and 317(k); United Stated Code □ Title 42 □ Chapter 6A-Subchapter II-Part A-Section 241; and United States Code □ Title 42-Chapter 6A-Subchapter II-Part B-Section 247b.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PEMS

12 Describe the information the agency will collect, maintain, or disseminate and how the agency will use the information. In this description, indicate whether the information contains IIF and whether submission is voluntary or mandatory.

The Program Evaluation and Monitoring System (PEMS) will provide data necessary to analyze and assess processes and effects of HIV prevention programs related to these goals. This analysis will help CDC to promulgate best practices, redesign interventions that are inefficient or not effective in preventing HIV, and identify grantees that need assistance to better deliver effective prevention services. Overall, the focus on improving the quality of HIV prevention activities is anticipated to lead to a reduction in transmission. In addition, it is recognized that intervention delivery in the field varies in quality. The PEMS is designed to lead the user through a process that is in agreement with the CDC prevention guidance, therefore encouraging them to apply scientifically sound approaches while also stressing focus on the populations and risks associated with transmission. The President□s Management Agenda (PMA) requires DHAP and its grantees be accountable and able to demonstrate that the programs they implement and support are capable of meeting their stated goals. A recent report from the Office of Management and Budget (OMB) identified aspects of the existing evaluation and monitoring procedures and reporting processes that require improvement. In response, new performance indicators have been established that must be addressed by health department grantees and community-based organizations (CBOs). These will be monitored by PEMS. The data that is being collected in PEMS will be used to evaluate HIV prevention programs that are funded by CDC. The data collected from grantees is not mandatory, but if the required data is not furnished there may be consequences to grantees in terms of future CDC funding being cut or reduced. The programmatic aspects monitored are an agency□s capacity to deliver and monitor prevention services, the processes it implements, and the prevention outcomes that occur. These indicators quantify milestones with five-year targets and provide CDC with an annual snapshot of performance along key dimensions. This information is useful for improving the efficiency and effectiveness of programs and is tailored to make comparisons among agencies, interventions, and populations. Some examples of the HIV prevention program indicators that will be reported by the health departments and/or CBOs using the PEMS are: □ the number of newly diagnosed HIV infections; □ percent of newly identified, confirmed HIV-positive test results returned to clients; □ percent of contacts with unknown or negative serostatus receiving an HIV test after PCRS; □ the proportion of persons who access counseling and testing from individual-level interventions and group-level interventions; and □ percent of HIV-infected persons who, after a specified period of participation in a prevention intervention supported by the DHAP, report a reduction in sexual or drug-using risk behaviors, or maintain protective behaviors with

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PEMS

		seronegative partners or with partners of unknown status. Specifically, PEMS will provide program managers with service-level information regarding the processes of their interventions (e.g., who delivered what to whom, how many, where, when) and client-level information regarding the effects of their work (e.g., the demographic and risk factors of the populations served, referral patterns and successes, changes in behaviors). The CDC will use these data alone and in combination with other data (e .g., surveillance, accounting, focused evaluation research, and studies) to: Assess CDC HIV budget allocations to ensure successful HIV prevention program resources are reaching priority populations; define unmet needs of HIV prevention service providers; inform HIV prevention research activities at CDC; highlight opportunities to strengthen collaboration among CDC, federal agencies, and other partners; assess the annual performance of CDC and its grantees in meeting priority goals, objectives, and strategies; serve as the basis of a yearly report card to the public on the activities of CDC and its grantees; and produce standardized and specialized reports which will inform grantees, CDC project officers, and stakeholders of HIV prevention activities. The grantees will submit data to CDC on a quarterly basis to a reporting database (RPEMS) where there will be no identifying information stored. The RPEMS data will be used for reporting and data analysis purposes. This PIA covers the first phase of the PEMS project. This phase will not contain client level information in identifiable form. The first phase will not include sensitive information. Sensitive information will be added in the second phase, as identified in the system security plan, and a new PIA will be created during Phase 2 of the project.
13	**Explain how the IIF collected, maintained, and/or disseminated is the minimum necessary to accomplish the purpose for this effort.**	n/a
14	**Explain why the IIF is being collected, maintained, or disseminated.**	n/a
15	**Identify with whom the agency will share the IIF.**	n/a

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PEMS

16	**Describe how the IIF will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	n/a
17	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children□s Online Privacy Protection Act of 1998)**	Information for PEMS will not be collected from any respondents via the Internet, including children under age 13.
18	**Describe how the IIF will be secured.**	n/a
19	**Describe plans for retention and destruction of IIF.**	n/a
20	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	n/a
21	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endosed by the OPDIV Privacy Contact (Sign and Date):**	Betsey Dunaway Confirmed by phone call made to Beverly King on 8/18/04 at 4:10 PM.
22	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	
23	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PHIN CDS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2012-01-20
2	**HHS Agency (OPDIV):**	Centers for Disease Control and Prevention
3	**Title of System or Information Collection:**	Public Health Information Network (PHIN)
4	**Is this System or Information Collection new or is an existing one being modified?**	New
5	**Unique Project Identifier Number:**	009-20-01-00-01-0909-00
6	**System of Records Number:**	
7	**OMB Information Collection Approval Number and Expiration Date :**	
8	**Other Identifying Number(s):**	
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	Currently there are multiple systems in place that support communications for public health labs, the clinical community, and state and local health departments. Each has demonstrated the importance of being able to exchange health information. However, many of these systems operate in isolation, not capitalizing on the potential for a cross-fertilization of data exchange. A crosscutting and unifying framework is needed to better monitor these data streams for early detection of public health issues and emergencies. The Public Health Information Network (PHIN) is this framework. Through defined data and vocabulary standards and strong collaborative relationships, the Public Health Information Network will enable consistent exchange of response, health, and disease tracking data between public health partners

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PHIN CDS

10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	This initiative does not collect personally identifiable information.
11	**Explain why the information is being collected.**	
12	**Identify with whom the agency will share the collected information .**	
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	
15	**Describe how the information will be secured.**	
16	**Describe plans for retention and destruction of data collected.**	
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PHIN CDS

20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PHLIS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-12-01
2	**HHS Agency (OPDIV):**	Centers for Disease Control and Prevention
3	**Title of System or Information Collection:**	Public Health Laboratory Information System (PHILS)
4	**Is this System or Information Collection new or is an existing one being modified?**	Existing system
5	**Unique Project Identifier Number:**	N/A
6	**System of Records Number:**	N/A
7	**OMB Information Collection Approval Number and Expiration Date :**	N/A
8	**Other Identifying Number(s):**	N/A
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	PHILS collects public health laboratory surveillance data from approximately 100 sites in the U.S. Data screens (modules) can be created and updated then rapidly distributed to all reporting sites electronically without programmer involvement. Reporting sites can enter public health surveillance data and report it electronically. The system allows sites to set up and run imports which allow them to collect data from their LIMS systems. PHLIS provides the capacity for a hierarchical reporting scheme involving data transmission to multiple, successively higher reporting levels, and ultimately to a single central site. PHLIS allows sites to create their own questions and modules for their own independent disease surveillance activities.
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	This system does not collect personally identifiable information

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PHLIS

11	**Explain why the information is being collected.**	
12	**Identify with whom the agency will share the collected information .**	
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	
15	**Describe how the information will be secured.**	
16	**Describe plans for retention and destruction of data collected.**	
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PulseNet

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-26
2	**HHS Agency (OPDIV):**	Centers for Disease Control and Prevention
3	**Title of System or Information Collection:**	PulseNet
4	**Is this System or Information Collection new or is an existing one being modified?**	Existing
5	**Unique Project Identifier Number:**	n/a
6	**System of Records Number:**	n/a
7	**OMB Information Collection Approval Number and Expiration Date :**	n/a
8	**Other Identifying Number(s):**	n/a
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The PulseNet Network serves as a national early warning system that detects foodborne disease clusters and facilitates timely epidemiologic investigation of common source outbreaks. Public health laboratories in all 50 states, six large county and city public health laboratories, and 9 laboratories of the U.S. Food and Drug Administration and U.S. Dept. of Agriculture □ Food Safety and Inspection Service participate in the network. Participating laboratories routinely perform DNA □fingerprinting□ of human clinical isolates of foodborne disease causing bacteria and submit the DNA □fingerprints□ electronically to a national database established and maintained at CDC. Incoming data are reviewed and evaluated continually at CDC to detect clusters of disease isolates that have indistinguishable DNA □ fingerprints.□ DNA □fingerprints□ of food isolates of these bacteria that are submitted by the food regulatory agencies to PulseNet are compared with the clinical isolates to identify any food-patient matches that may require further investigation.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PulseNet

10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	This system does not collect personally identifiable information.
11	**Explain why the information is being collected.**	n/a
12	**Identify with whom the agency will share the collected information .**	n/a
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	n/a
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	n/a
15	**Describe how the information will be secured.**	n/a
16	**Describe plans for retention and destruction of data collected.**	n/a
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	n/a
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: PulseNet

20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: SATERIS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-28
2	**HHS Agency (OPDIV):**	Centers for Disease Control and Prevention (CDC), Select Agent Program
3	**Title of System or Information Collection:**	Select Agent Transfer and Entity Registration Information System (SATERIS)
4	**Is this System or Information Collection new or is an existing one being modified?**	New
5	**Unique Project Identifier Number:**	009-20-01-02-02-2091-00
6	**System of Records Number:**	
7	**OMB Information Collection Approval Number and Expiration Date :**	
8	**Other Identifying Number(s):**	
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	Public Law 107-188 requires HHS to establish and enforce procedures for the containment, transfer, and disposal of select biological agents. The CDC Select Agent Transfer and Entity Registration Information System (SATERIS) Program will provide HHS with the ability to accurately and efficiently track and monitor the location, movement, and destruction of select agents with registered entities. This capability will significantly enhance their ability to prevent, prepare for, and respond to bioterrorism and other public health emergencies. The system consists of an external web-based interface for regulated entities to submit required registration and application forms, and a secure intranet system with a records management component (to comply with National Archives & Records Administration (NARA) standards) and a database application component for the entry, archive, and reporting of information and data. Regulated entities being tracked by CDC include the personnel at laboratories and universities that store and use select agents.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: SATERIS

10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	The SATERIS program will collect: name, date of birth, social security number, mailing address, and phone numbers. The data collected is that which is required under PL 107-188 and approved by OMB (e.g. OMB approved form: Application for Laboratory Registration for Possession, Use, and Transfer of Select Agents or High Consequence Livestock Pathogens), and is the minimum data necessary to track and monitor the location, movement, and destruction of select agents with registered entities and individuals.
11	**Explain why the information is being collected.**	The information being collected is required to support HHS/CDC requirements under PL 107-188 to track and monitor the location, movement, and destruction of select agents with registered entities.
12	**Identify with whom the agency will share the collected information .**	The information collected by the SATERIS program is not electronically shared with any other systems/agencies. Data is shared after human review, validation, and authorization with USDA/APHIS (for overlap agents), DOJ/CJIS (for security risk assessments of entities and individuals), and authorized representatives of Homeland Defense as necessary to support the requirements of Public Law 107-188
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	The information collected by the SATERIS program will be submitted to the CDC by regulated entities (as identified in PL 107-188) either through the web-based interface for the electronic submission of approved registration and application forms, by Fax transmission of the same forms, or by the US mail system. Required OMB approved forms include guidance with descriptions of the applicable public law and related rules, procedures, purpose and intended use of the collected data. Data is required for any entity subject to the provisions of PL 107-188, no opportunity for consent is provided other than withdrawal from the possession or use of identified biological agents in accordance with the provisions of the law and associated rules.
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	No information will be collected on children of any age.
15	**Describe how the information will be secured.**	The SATERIS system maintains the data in a database hosted within a secure intranet protected by firewalls, intrusion detection systems, cryptographic communications devices, and a Trusted Gateway Systems (transport from external to internal system). Additionally, the system and supporting paper documents will be located within secure spaces compliant with Defense Security Services (DSS) standards. All personnel with access to the data will have current DoD Secret level clearances (or equivalent).

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: SATERIS

16	**Describe plans for retention and destruction of data collected.**	The SATERIS system data will be maintained in accordance with a File Retention and Destruction Plan (to be developed) that will be compliant with NARA standards.
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: STARRS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-28
2	**HHS Agency (OPDIV):**	Centers for Disease Control and Prevention (IRMO)
3	**Title of System or Information Collection:**	Specimen Tracking and Results Reporting System (STARRS)
4	**Is this System or Information Collection new or is an existing one being modified?**	New
5	**Unique Project Identifier Number:**	
6	**System of Records Number:**	
7	**OMB Information Collection Approval Number and Expiration Date :**	
8	**Other Identifying Number(s):**	

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: STARRS

9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	The anthrax events in the fall of 2001 clearly brought into focus the difficulties that investigators experienced in rapidly associating laboratory test results with other clinical and environmental data. This deficiency resulted from inconsistent numbering of specimens and an inability to link data when re-associating multiple data components with a specific source, thus impacting response efforts of epidemiologists and other public health officials in rendering prevention and intervention schemes. Though more apparent during the anthrax events, CDC has long experienced difficulty in rapidly associating data generated from multiple sources for a specimen and has, on occasion, experienced difficulty in locating specimens. Specimen Tracking and Results Reporting System (STARRS) will address the imminent need to consistently and unambiguously track specimens received and tested at the CDC. The major goal of this system is to provide a central portal for CDC investigators to link specimen data received or generated from multiple sites, including but not limited to field investigations, internal laboratories, state health departments, contract laboratories, and other public health partners.
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	This system does not collect personally identifiable information
11	**Explain why the information is being collected.**	
12	**Identify with whom the agency will share the collected information .**	
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: STARRS

14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	
15	**Describe how the information will be secured.**	
16	**Describe plans for retention and destruction of data collected.**	
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: VAERS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-26
2	**HHS Agency (OPDIV):**	Centers for Disease Control and Prevention, National Immunization Program
3	**Title of System or Information Collection:**	Vaccine Adverse Event Reporting System (VAERS)
4	**Is this System or Information Collection new or is an existing one being modified?**	No
5	**Unique Project Identifier Number:**	009-20-01-02-01-1050-02
6	**System of Records Number:**	09-20-0136
7	**OMB Information Collection Approval Number and Expiration Date :**	Exempt under Section 321, Title III, Pub. L. 99-660, as cited in 42 USC Sec. 300aa-1, dated 01/02/2001
8	**Other Identifying Number(s):**	n/a

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: VAERS

9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	VAERS is the national passive surveillance vaccine safety monitoring system in the United States. VAERS is jointly operated by the Centers for Disease Control and Prevention, National Immunization Program and Food and Drug Administration, Center for Biologics Research and Evaluation to monitor the safety of vaccines licensed for use in the United States. It allows CDC and FDA to monitor vaccine safety as mandated by the National Childhood Vaccine Injury Act (NCVIA) of 1986 (P.L. 99-660), the Code of Federal Regulations Title 21, Part 600.80, and under statutory authority from the Public Health Service Act, section 301 (42 USC 241). VAERS receives reports of adverse events following vaccination from health care providers, vaccine manufacturers, state health departments, vaccine recipients and/ or their parents/guardians, and other parties interested in vaccine safety. Health care providers by law, and manufacturers additionally by regulation, are required to report certain types of events that occur within specific time frames after vaccination .
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	VAERS collects information specific to the VAE on the Form VAERS-1, including information identifying the person who received the vaccine, the vaccine provider, and the reporter of the VAE, demographic information on the patient, a description of the VAE, information about the vaccine(s) being reported, information about vaccinations received during the previous month and any pre-existing illnesses, and information about previous VAEs experienced. The completed Form VAERS-1 can be submitted to the VAERS program by mail or fax; an electronic version of the Form VAERS-1 is also available on the Internet allowing secure web-based reporting . The information gathered is monitored and analyzed by Agency staff to ensure that vaccines are used appropriately and VAEs are recognized and appropriate measures taken. The information collected by VAERS is the minimum required for assessment and analysis of potential VAEs and for follow-up activities as required for evaluation of VAEs, for FDA□s responsibilities for licensing and regulating vaccines, and for coordination with reporting entities to include local and state health authorities.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: VAERS

11	**Explain why the information is being collected.**	The Department of Health and Human Services (DHHS) established VAERS to provide a single system for the collection and the analysis of reports on all VAEs associated with the administration of any U.S. licensed vaccine, in all age groups. To meet the needs for monitoring vaccine safety, the CDC and the FDA have worked together since 1989 to sponsor VAERS. These needs relate to CDC□s responsibilities for the national control of vaccine-preventable diseases, ensuring vaccine safety, and for providing assistance to public sector vaccine programs, and FDA□s responsibilities for licensing and regulating vaccines, and ensuring vaccine safety. The information collected by VAERS is required for assessment and analysis of potential VAEs, and for follow-up activities, for meeting FDA□s responsibilities for licensing and regulating vaccines, and for coordination with reporting entities.
12	**Identify with whom the agency will share the collected information .**	The Centers for Disease Control and Prevention, National Immunization Program jointly operates VAERS with the Food and Drug Administration, Center for Biologics Research and Evaluation to monitor vaccine safety in accordance with P.L. 99-660 and 21 CFR 600.80. Both agencies receive different versions of the VAERS database and have access to the primary VAERS database and imagebase maintained by the VAERS contractor. CDC and FDA coordinate VAERS related research and surveillance activities. FDA has the authority to take regulatory action based on potential vaccine safety problems detected by VAERS and conducts reviews of the safety of individual vaccine lots using VAERS. Pursuant to the Standards for Privacy of Individually Identifiable Health Information promulgated under the Health Insurance Portability and Accountability Act (HIPAA)(45 CFR Parts 160 and 164), covered entities including CDC may disclose protected health information to public health authorities □authorized by law to collect or receive such information for the purpose of preventing or controlling disease, injury, or disability, including, but not limited to, the reporting of disease, injury, vital events such as birth or death, and the conduct of public health surveillance, public health investigations, and public health interventions□ The definition of a public health authority includes □a person or entity acting under a grant of authority from or a contract with such public agency□ The VAERS Contractor will act under contract with the CDC to carry out the Vaccine Adverse Event Reporting System which is authorized by the statutory authority from the Public Health Service Act, section 301 (42 USC 241), the National Childhood Vaccine Injury Act (NVCIA), P.L. 99-660, and 21 CFR 600.80 and therefore may be considered a public health authority under the Privacy Rule for purposes of this project. Further, CDC considers this to be a disease/injury reporting system for which disclosure of protected health information by covered entities is authorized by section 164.512(b) of the Privacy Rule [45 CFR 164.512(b)].

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: VAERS

13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	VAERS collects information specific to the VAE using the Form VAERS-1; completed forms are submitted to the VAERS program by mail or fax; an electronic version of the Form VAERS-1 is also available on the Internet allowing secure web-based reporting. VAERS receives reports of adverse events following vaccination from health care providers, vaccine manufacturers, state health departments, vaccine recipients and/or their parents/guardians, and other parties interested in vaccine safety. Health care providers are required by law under the NCVIA, and manufacturers additionally by regulation, to report certain types of events that occur after vaccination. The Form VAERS-1 provides information and instructions about the form, provides written notice regarding which VAEs are required to be reported, and indicates that reports for other VAES are voluntary except when required as a condition of immunization grant awards. The form additionally provides information regarding the use of the VAERS data to increase understanding of adverse events following vaccination. The Form provides users notification of the Privacy Act System of Records in which records existing in VAERS are maintained. The form provides information regarding protection of information identifying the person who received the vaccine, and indicates that such information is not made available to the public but may be available to the vaccinee or their legal representative. The electronic version of Form VAERS-1 for web-based reporting provides similar notification. A letter of acknowledgment of receipt of the report is sent to individuals who submit the hard copy Form VAERS-1, and a facsimile of the VAERS form completed with all submitted information to electronic direct reporters for verification. Acknowledgment letters include a request for missing data and data needed to resolve possible discrepancies.
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	Information is not collected from children under age 13. However, parents and others may submit VAERS reports about adverse events following vaccination experienced by children under the age of 13, and healthcare providers are required by law under the NCVIA to report certain types of events that occur within specific time frames following vaccination.

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: VAERS

15	**Describe how the information will be secured.**	Information submitted to VAERS is secured and protected in compliance with all Federal, DHHS, and Operating Division/Agency AIS security and privacy requirements as prescribed by OMB Circular A-130, Appendix III, "Security of Federal Automated Information Systems," and the DHHS Automated Information Systems Security Program (AISSP) Handbook, and the Federal Information Resources Management Regulation (FIRMR) Subpart 201-21.3, "Security and Privacy". These measures include but are not limited to maintaining the system and information contained in secured buildings with controlled access, using secured storage of all system data and forms, secure access to system operational and storage areas, using computer system protection with firewalls, virus protection, and password restriction of user access, employing routine system security audits and periodic risk and vulnerability assessments, physical security controls, personnel security controls, and data backup and recovery, and transmission of information secured using encryption and Secure Socket Layer (SSL) technology, including data submitted using the web-based reporting form.
16	**Describe plans for retention and destruction of data collected.**	All documents submitted to VAERS are scanned into the VAERS imagebase, and data is entered into the VAERS database. Data submitted to VAERS is retained in the VAERS primary database maintained by the VAERS contractor and in the VAERS database maintained by CDC/NIP. Data and records are maintained in accordance with Privacy Act regulations and procedures as defined in the Automated Information Systems Security Program Handbook. The VAERS database and imagebase are cumulative allowing for monitoring of vaccine safety trends since the inception of VAERS in 1990. After temporary secured storage with the VAERS contractor documents submitted to VAERS are transferred to the Federal Documents Storage Center in East Point, Georgia for secured archiving.
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	The records existing in VAERS will be maintained under the Privacy Act System of Records 09-20-0136, Epidemiologic Studies and Surveillance of Disease Problems.
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: VAERS

20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: VODS

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-12-01
2	**HHS Agency (OPDIV):**	Centers for Disease Control and Prevention, National Immunization Program
3	**Title of System or Information Collection:**	Vaccine Ordering and Distribution System
4	**Is this System or Information Collection new or is an existing one being modified?**	No
5	**Unique Project Identifier Number:**	009-20-01-01-01-1030-02
6	**System of Records Number:**	N/A
7	**OMB Information Collection Approval Number and Expiration Date :**	N/A
8	**Other Identifying Number(s):**	N/A
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	VODS is a Database Management System (DBMS) used by 59 state, city, and territorial government Immunization Programs (called Projects). Only these Projects, designated by CDC, are eligible to use VODS (the application is not designed or accessible for any agency other than these 59 Projects). The Projects use VODS to order, and optionally to track and record information relating to vaccine purchases with public funds (e.g., Vaccines For Children program (VFC), Section 317 Grant funds, and State general funds).
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	This system does not collect Personal Identifiers

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: VODS

11	**Explain why the information is being collected.**	
12	**Identify with whom the agency will share the collected information .**	
13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	
15	**Describe how the information will be secured.**	
16	**Describe plans for retention and destruction of data collected.**	
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: WONDER

	Question:	Response:
1	**Date of this Submission (MM/DD/YYYY):**	2003-11-19
2	**HHS Agency (OPDIV):**	CDC
3	**Title of System or Information Collection:**	WONDER
4	**Is this System or Information Collection new or is an existing one being modified?**	Existing
5	**Unique Project Identifier Number:**	009-20-01-21-01-1010-00
6	**System of Records Number:**	n/a
7	**OMB Information Collection Approval Number and Expiration Date :**	FY 2004 Exhibit 53 Unique ID: 009-20-01-06-01-010-00 Expiration Date: 06/05/2004
8	**Other Identifying Number(s):**	n/a
9	**Provide an overview of the system or collection and indicate the legislation authorizing this activity.**	WONDER hosts public use data collected by various program offices and agencies and provides a web-based interface that allows ad hoc queries to be made of the datasets.
10	**Describe the information the agency will collect and how the agency will use the collected information. Explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**	WONDER does not do data collection. Data and information in WONDER is supplied by various CDC program offices and agencies. Please contact the data provider as indicated in WONDER for additional information on the data provider's Privacy Impact Assessment.
11	**Explain why the information is being collected.**	n/a
12	**Identify with whom the agency will share the collected information .**	n/a

HHS Privacy Impact Assessment (PIA) Summary

OPDIV: CDC System Name: WONDER

13	**Describe how the information will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.**	n/a
14	**State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)**	n/a
15	**Describe how the information will be secured.**	n/a
16	**Describe plans for retention and destruction of data collected.**	n/a
17	**Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.**	n/a
18	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the OPDIV Privacy Contact (Sign and Date):**	Betsy S. Dunaway
19	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency Head (sign and date):**	Julie Louise Gerberding, MD, MPH
20	**The Privacy Analysis Worksheet and PIA Summary have been reviewed and endorsed by the Agency CIO (sign and date):**	James D. Seligman