

**General Information**

|                                       |                                                                                               |                           |                            |
|---------------------------------------|-----------------------------------------------------------------------------------------------|---------------------------|----------------------------|
| <b>PTA / PIA Name:</b>                | CDC - OCIO Azure GSS - Research Electronic Data Capture - QTR1 - 2026 - CDC8887424            | <b>PTA / PIA ID:</b>      | 4444176                    |
| <b>Component Name:</b>                | CDC - OCIO Azure GSS                                                                          | <b>ATO Boundary Name:</b> | OCIO Azure GSS             |
| <b>Overall Status:</b>                | Complete<br> | <b># of Days - Open:</b>  | 63                         |
| <b>Submitter:</b>                     |                                                                                               | <b>Submit Date:</b>       | 4/24/2026                  |
| <b>Next Assessment Date:</b>          | 05/28/2029                                                                                    | <b>Expiration Date:</b>   | 5/28/2029                  |
| <b>Office:</b>                        |                                                                                               | <b>OpDiv:</b>             | CDC                        |
| <b>Security Categorization:</b>       | High                                                                                          |                           |                            |
| <b>Make PIA available to Public?:</b> | No                                                                                            | <b>PIA Required:</b>      | Yes                        |
| <b>General 01:</b>                    | Identify the Enterprise Performance Lifecycle Phase of the system.                            |                           | Operations and Maintenance |
| <b>General 02:</b>                    | Is this a FISMA-Reportable system?                                                            |                           | Yes                        |
| <b>General 03:</b>                    | Does the system have or is it covered by a Security Authorization to Operate (ATO)?           |                           | Yes                        |
| <b>General 04:</b>                    | ATO Date or Planned ATO Date.                                                                 |                           |                            |
| <b>General 05:</b>                    | Is the system or electronic information collection, agency or contractor operated?            |                           | Agency                     |
| <b>History Log:</b>                   | <a href="#">View History Log</a>                                                              |                           |                            |

**Privacy Threshold Analysis****Privacy Threshold Analysis**

|                 |                                                                                   |                                   |
|-----------------|-----------------------------------------------------------------------------------|-----------------------------------|
| <b>PTA 01:</b>  | Point of Contact (POC) Name                                                       | Stephen Racine                    |
| <b>PTA 01A:</b> | POC Title and Organization                                                        | Business Steward<br>CDC/NCEZID/OD |
| <b>PTA 01B:</b> | POC Email Address                                                                 | swr9@cdc.gov                      |
| <b>PTA 01C:</b> | POC Phone Number                                                                  | 770-488-8292                      |
| <b>PTA 02:</b>  | Indicate the following reason(s) for this PTA. Choose from the following options. | PIA Validation (PIA Refresh)      |

|                 |                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|-----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PTA 02A:</b> | Describe in further detail any changes to the system that have occurred since the last PIA.                                                                                    | No Change                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>PTA 03:</b>  | Is the data contained in the system owned by the agency or contractor?                                                                                                         | Agency                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>PTA 04:</b>  | Please give a brief overview of the purpose of the system by describing what the functions of the system are and how the system carries out those functions in support of HHS. | <p>Research Electronic Data Capture is a subcomponent of OCIO Azure GSS</p> <p>Research Electronic Data Capture (REDCap) is a data management platform for collection, analysis, and visualization of public health research and event data. This system exists in the Centers for Disease Control and Prevention (CDC) managed, Federal Risk and Authorization Management Program (FEDRamp) approved Microsoft Azure facility within the CDC Office of the Chief Information Officer (OCIO) managed tenant.</p> |

|                 |                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PTA 05:</b>  | List and/or describe all the types of information that are collected, maintained, and/or shared by the system regardless of whether that information is PII and how long that information is stored. | <p>REDCap is a data collection tool offered to CDC programs in support of public health research and public health emergency response. REDCap projects and data requirements vary from public health research, laboratory research, emergency response, longitudinal studies, vaccine trial data, and other public health event data. For example, the data may include public health event studies that may collect information on symptoms and environmental exposures that may be linked to potential etiologic agents. In some circumstances, Personally Identifiable Information (PII) is collected for clinical or epidemiological follow-up and intervention. (Patient PII Data) The exact nature, type, and amount of PII collected will vary from survey to survey but is limited to a subset of Name, Mother's Maiden Name, E-Mail Address Personal, Email Address Business, Mailing Address Personal, Mailing Address business, Phone Numbers, Medical Notes, Certificates, Education Records, Military Status, Foreign Activities, Date of Birth, Photographic Identifiers, Medical Records Number, Legal Documents, Device Identifiers, or Employment Status per survey. All user access to the REDCap web application which is authenticated via CDC's Digital Support Office - Secure Access Management System (SAMS), including authorized CDC users. SAMS is a system with its own PIA.</p> <p>The standard REDCap project requires five distinct tables stored in a single database as listed below.</p> <p>METADATA Table containing all study data pertaining to database storage (data field types and naming used for automatic creation of separate data storage table) and case report form presentation (form names and security levels, field-specific display and validation rules)</p> <p>LOGGING table used to store all information about data changes and exports</p> <p>DOCS table used to store uploaded (ex. consent forms, analysis code) or generated export files (SAS, SPSS, R, Stata, Excel)</p> <p>RIGHTS table containing specific researcher rights and expiration settings</p> <p>Flat DATA table used to store all collected data for the study (one row per subject with all collected data fields stored in columns).</p> |
| <b>PTA 05A:</b> | Are user credentials used to access the system?                                                                                                                                                      | Yes, but the user credentials are maintained in a separate system (e.g., AD, AMS) and not collected or maintained by this system.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>PTA 05C:</b> | Please identify the system that maintains the user credentials or controls access to this system.                                                                                                    | The system providing credentials is: Secure Access Management System (SAMS)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>PTA 06:</b>  | Describe why each type of information is collected, maintained, and/or shared by the system. Specify what information is collected about each category of individual.                                | REDCap is an open source software develop for scientific research. The application was developed and maintained by Vanderbilt University. Updates                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

are managed and distributed by a consortium of partners that provide software support, development and communication.

At the CDC REDCap is used for creating, fielding, and managing large or small data collection projects. Data collection projects encompass all facets of maintaining a research or public health response effort in the field. This includes data collection, management, analysis, and visualization purposes. REDCap can also manage longitudinal studies that capture repeated measures on a study cohort. It also provides a comprehensive toolset to track study participants and their compliance/participation with the implemented research study protocol.

REDCap projects and data requirements vary from public health research, laboratory research, emergency response, longitudinal studies, vaccine trial data, and other public health event data. For example, public health event studies might collect information on symptoms and environmental exposures that might be linked to potential etiologic agents. In some circumstances, PII is collected for clinical or epidemiological follow-up and intervention but is limited to a subset of Name, Mother's Maiden Name, E-Mail Address Mailing, Phone Numbers, Medical Notes, Certificates, Education Records, Military Status, Foreign Activities, Date of Birth, Photographic Identifiers, Mailing Address, Medical Records Number, Legal Documents, Device Identifiers, or Employment Status per survey. The exact nature, type and amount of PII collected will vary from survey to survey.

All user access to the REDCap web application is authenticated via CDC's Digital Support Office (DSO) - Secure Access Management System (SAMS), including authorized CDC users. SAMS is a system with its own PIA.

The standard REDCap project requires five distinct tables stored in a single database as listed below.

METADATA Table containing all study data pertaining to database storage (data field types and naming used for automatic creation of separate data storage table) and case report form presentation (form names and security levels, field-specific display and validation rules)

LOGGING table used to store all information about data changes and exports

DOCS table used to store uploaded (ex. consent forms, analysis code) or generated export files (SAS, SPSS, R, Stata, Excel)

RIGHTS table containing specific researcher rights and expiration settings

Flat DATA table used to store all collected data for the study (one row per subject with all collected data fields stored in columns).

|                 |                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|-----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PTA 07:</b>  | Does the system collect, maintain, use, or share PII?                                                                                                                      | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>PTA 08:</b>  | Does the system include a website or online application?                                                                                                                   | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>PTA 08A:</b> | Provide the URL(s).                                                                                                                                                        | <a href="https://rdcp.cdc.gov">https://rdcp.cdc.gov</a>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>PTA 08B:</b> | Are any of the website or online applications accessible by the public (including publicly accessible log in pages)?                                                       | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>PTA 09:</b>  | Describe the purpose of the website, who has access to it, and how users access the web site (via public URL, log in, etc.). Please address each element in your response. | Research Electronic Data Capture Application (REDCap) is the primary data collection and research management system for the National Center for Emerging and Zoonotic Infectious Diseases (NCEZID) divisions and branches and offered as a data collection service made available for other Centers within the CDC. It is authorized to process both aggregate and personally identifiable information depending on the research protocol and its purpose. It provides users a toolset to manage clinical intervention trials in the field while collecting data on the efficacy of such trials. REDCap also assists epidemiologic investigations in the field through creating dynamic data collection instruments. All user (both organizational and non-organizational users) access to the REDCap web application in web browser using REDCap's Uniform Resource Locator (URL) which is authenticated via CDC's Digital Support Office - Secure Access Management System (SAMS). |
| <b>PTA 10:</b>  | Does the website have a posted privacy notice?                                                                                                                             | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>PTA 11:</b>  | Does the website contain links to non-federal government websites external to HHS?                                                                                         | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>PTA 12:</b>  | Does the website use web measurement and customization technology?                                                                                                         | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>PTA 13:</b>  | Does the website have any information or pages directed at children under the age of thirteen?                                                                             | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>PTA 14:</b>  | Does the system have a mobile application?                                                                                                                                 | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>PTA 14A:</b> | Is the mobile application HHS developed and managed or a third-party application?                                                                                          | Third-party                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

|                |                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|----------------|----------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PTA 15:</b> | Describe the purpose of the mobile application, who has access to it, and how users access it. Please address each element in your response. | <p>REDCap software provides its online users with the ability to create and manage surveys and databases quickly and securely to facilitate data collection. The REDCap Mobile App provides users with a tool for offline data collection, particularly in environments with poor internet connectivity. The app is used as a companion app to a REDCap project. New project creation is not possible in the REDCap Mobile App itself. The app's purpose is to collect data offline that will later be added to an existing project in the web-based REDCap application.</p> <p>All users (both organizational and non-organizational users) access to the REDCap web application in web browser using REDCap URL which are authenticated through the SAMS system and authorized within REDCap using role-based access. SAMS generates and sends a personalized email invitation containing one-time use access credentials (User ID and Temporary Password) for SAMS user registration task, not stored on REDCap. In addition, SAMS generates and sends subsequent email notifications to the user informing them of their SAMS account activation and activity access authorization(s).</p> |
| <b>PTA 16:</b> | Does the mobile application have a privacy notice?                                                                                           | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>PTA 17:</b> | Does the mobile application contain links to non-federal government websites external to HHS?                                                | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>PTA 18:</b> | Does the mobile application use measurement and customization technology?                                                                    | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>PTA 19:</b> | Does the mobile application have any information directed at children under the age of thirteen?                                             | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>PTA 20:</b> | Are any third-party websites or applications (TPWA) associated with the system?                                                              | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>PTA 21:</b> | Does this system use artificial intelligence (AI) tools or technologies?                                                                     | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

## Privacy Impact Assessment

### Privacy Impact Assessment

|                 |                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|-----------------|---------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PIA 22:</b>  | Indicate the type(s) of personally identifiable information (PII) that the system will collect, maintain, or share. | <p>Identifying Numbers</p> <p>Device Identifiers</p> <p>Biographical Information</p> <p>Name</p> <p>Date of Birth</p> <p>Mother Maiden Name</p> <p>Certificates (e.g., training certificates)</p> <p>Education Records</p> <p>Foreign Activities</p> <p>Legal Documents</p> <p>Military Status/History</p> <p>Contact Information</p> <p>Email Address (Personal)</p> <p>Mailing Address (Personal)</p> <p>Phone Numbers (Personal)</p> <p>Email Address (Business)</p> <p>Mailing Address (Business)</p> <p>Biometrics/Distinguishing Features</p> <p>Photographic Identifiers</p> <p>Medical Information</p> <p>Medical Records</p> <p>Medical Records Number</p> <p>Other</p> <p>Other</p> |
| <b>PIA 22A:</b> | Identify the “other” type(s) of personally identifiable information (PII) not mentioned in the above list.          | Employment Status per survey                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>PIA 23:</b>  | Indicate the categories of individuals about whom PII is collected, maintained, or shared.                          | <p>Business Partners/Contacts (Federal state, local agencies)</p> <p>Employees/HHS Direct Contractors</p> <p>Vendors/Suppliers/Third-Party Contractors (Contractors other than HHS Direct Contractors)</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>PIA 24:</b>  | Indicate the approximate number of individuals whose PII is maintained in the system.                               | 500 – 4,999                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>PIA 25:</b>  | For what primary purpose is the PII used?                                                                           | <p>Most REDCap data projects do not contain PII. When PII is solicited, it is because the CDC 's Principal Investigator (PI) for each project leading that research project judges that PII may be important for that public health response, e.g. clinical trial follow-up after vaccine administration. The PI is responsible for Office of Management and Budget (OMB) clearance and communication about PII to respondents.</p>                                                                                                                                                                                                                                                           |
| <b>PIA 26:</b>  | Describe any secondary uses for which the PII will be used (e.g., testing, training, or research).                  | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>PIA 28:</b>  | Identify legal authorities, governing information use and disclosure specific to the system and program.            | Public Health Service Act, Section 306(b) (42 U.S.C. 242k)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |

|                 |                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PIA 29:</b>  | Are records in the system retrieved by one or more PII data elements?                                                                                                                     | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>PIA 29A:</b> | Please specify which PII data elements are used to retrieve records.                                                                                                                      | The Patient PII data is primarily retrieved by the name, email address, and/or phone number.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>PIA 29B:</b> | Provide the number, title, and URL of the Privacy Act System of Records Notice (SORN) that is being used to cover the system or indicate whether a new or revised SORN is in development. |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>PIA 30:</b>  | Identify the sources of PII in the system.                                                                                                                                                | <p>Government Sources</p> <p>    Within the OPDIV</p> <p>    State/Local/Tribal</p> <p>Non-Government Sources</p> <p>    Members of the Public</p> <p>    Private Sector</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>PIA 31:</b>  | Is there an Office of Management and Budget (OMB) information collection approval number?                                                                                                 | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>PIA 31B:</b> | Explain why an OMB information collection approval number is not required.                                                                                                                | If required, each individual project's program/program/Principal Investigator (PI) is responsible for obtaining the OMB information collection approval number. The PI is notified of and acknowledges this responsibility through the completion and acceptance of the REDCap Project Request Form. If OMB clearance is required for a project, the REDCap Project Request Form requires disclosure of the corresponding OMB information collection approval number and expiration date.                                                                                                                                                                     |
| <b>PIA 32:</b>  | Is the PII in the system shared directly with other organizations outside the system's Operating Division?                                                                                | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>PIA 33:</b>  | Is the submission of PII by individuals voluntary or mandatory as defined in the Privacy Act?                                                                                             | Voluntary                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>PIA 34:</b>  | Describe the method in place to notify and obtain consent from individuals whose PII will be collected. If no prior notice is given or consent cannot be obtained, explain why.           | For all REDCap data projects, CDC requires the governmental or non-governmental organizations (as defined in Question 23 above) contributing the information to capture consent with the research or public health event by capturing a certified electronic signature for each participant in the research protocol or study. Each individual project's program/Principle Investigator (PI) is responsible for ensuring processes are in place to notify individuals that their personal information will be collected. The PI is notified of and acknowledges this responsibility through the completion and acceptance of the REDCap Project Request Form. |

|                 |                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PIA 35:</b>  | Describe the process to notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of original collection). If they cannot be notified or have their consent obtained, explain why. | For all REDCap data projects, CDC requires the governmental or non-governmental organizations (as defined in Q23 above) contributing the information to capture consent with the research or public health event by capturing a certified electronic signature for each participant in the research protocol or study. Each individual project's program/Principle Investigator (PI) is responsible for implementing processes to notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of original collection). The PI is notified of and acknowledges this responsibility through the completion and acceptance of the REDCap Project Request Form.                                                                                                                                                                                                                         |
| <b>PIA 36:</b>  | Describe the process in place to resolve an individual's concerns when they believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate. If no process exists, explain why not.                                                                                             | <p>Patient PII data are collected by governmental or non-governmental organizations (as identified above in Question 22 above) and are submitted to CDC in support of Public Health research or events, Device Identifiers, or Employment Status per survey CDC has no direct involvement in the PII collection process or contact with the individuals. Each individual project's program/Principle Investigator (PI) is responsible for periodic reviews of the integrity, availability accuracy, and relevancy of PII collected. The PI is notified of and acknowledges this responsibility through the completion and acceptance of the REDCap Project Request Form.</p> <p>CDC relies upon those organizations to have appropriate processes and procedures in place to resolve individual concerns regarding the accuracy and handling of the PII prior to submission. However, upon request, the REDCap support team will help research system logs or otherwise assist the PIs with their investigations.</p> |
| <b>PIA 37:</b>  | Describe the process in place for periodic reviews of the system to ensure the integrity, availability, accuracy, and relevancy of the PII in the system. Please address each element in your response. If no processes are in place, explain why not.                                                                 | Each individual project's program/Principle Investigator (PI) is responsible for periodic reviews of the integrity, availability accuracy, and relevancy of PII collected. The PI is notified of and acknowledges this responsibilities through the completion and acceptance of the REDCap Project Request Form.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>PIA 38:</b>  | Identify who will have access to the PII in the system.                                                                                                                                                                                                                                                                | <p>Users</p> <p>Administrators</p> <p>Contractors</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>PIA 38A:</b> | Select the type of contractor.                                                                                                                                                                                                                                                                                         | HHS/OpDiv Direct Contractors                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>PIA 38B:</b> | Do contracts include Federal Acquisition Regulation (FAR) and other appropriate clauses ensuring adherence to privacy provisions and practices?                                                                                                                                                                        | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |

|                |                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PIA 39:</b> | Provide the reason why each of the groups identified in 38 needs access to PII.                                                                                                                                                                                             | <p>Users- Data entry (open to all authorized users); Survey Design (restricted to CDC badged staff and contractor); and Data analysis (restricted to CDC badged staff and contractors).</p> <p>Administrators - Application, User, Database, and Server Management (restricted to CDC badged staff and contractors).</p> <p>Contractors - Direct contractors require access for data entry, Survey Design and Data analysis. Direct Contractors may act as Administrators as well.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>PIA 40:</b> | Describe the administrative procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.                                                                                                                             | <p>The Business Steward is limiting access to the smallest possible number of people necessary to access PII data for conducting official responsibilities through specific Role-based requirements. If the individual's manager determines that access to the system is required for the individual to perform their regular duties, they will make a request to the system administrator who will establish an account for the user to access the system. Access to PII is strictly enforced by setting up user profile on the Principle of Least Privilege and a Need To Know standard. Individuals can only see selected functions and information that are necessary for its valid purpose based on their user profile.</p> <p>System Administrators in coordination with Business Steward will assign designated personnel for read/write to data fields and Subject Matter Experts to analyze transactional user's access, monitor process and protocols used, control asset inventory.</p> <p>The HHS credentialed employee PII data is identified as non-Sensitive Internal Business information (Identified by name and CDC issued UserID) and limited to authorized Administrators and Subject Matter Experts.</p> |
| <b>PIA 41:</b> | Describe the technical methods in place to allow those with access to PII to access only the minimum amount of information necessary to perform their job.                                                                                                                  | <p>Technical controls: Users are authenticated and data secured using operating system and server security, administered by the local system administrator. PII data is encrypted at rest and in transits with access restricted to specific authorized users as required by HHS and CDC policy. All user access to the REDCap web application is authenticated via CDC's Digital Support Office-Secure Access Management System (SAMS), including authorized CDC users.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>PIA 42:</b> | Identify the general security and privacy awareness training provided to system users (system owners, managers, operators, contractors and/or program managers) to make them aware of their responsibilities for protecting the information being collected and maintained. | <p>All CDC personnel are required to complete annual Security and Privacy Awareness Training.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>PIA 43:</b> | Describe the training system users receive above and beyond general security and privacy awareness training.                                                                                                                                                                | <p>Third party governmental and non-governmental data contributors receive role-based training regarding system access rules of behavior on a study by study basis.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

|                       |                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|-----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>PIA 44:</b></p> | <p>Describe the process and guidelines in place for the retention and destruction of PII. Cite specific National Archives and Records Administration (NARA) records retention schedule(s) and include the retention period(s).</p> | <p>Each program using REDCap is responsible for applying its own existing records retention schedules to PII data, and schedules will vary across programs.</p> <p>Specifically to REDCap, the records are maintained in accordance with General Records Schedule (GRS) and comply with CDC Records Control Schedule (RCS). In accordance with GRS 5.2, final reports are created to document programmatic decisions, policies, and other related issues and are maintained permanently (CDC RCS, B-321, 2&amp;4). Input data of Non- electronic records manually data entered are maintained and disposed of when no longer needed. Other input/output records are disposed of when no longer needed: Disposal methods include erasing computer tapes, burning or shredding paper materials or transferring records to the Federal Records Center when no longer needed for evaluation and analysis.</p>                                                                                                                                                                                                                                                                                                                                                     |
| <p><b>PIA 45:</b></p> | <p>Describe how the PII will be secured in the system using administrative, technical, and physical controls. Please address each element in your response.</p>                                                                    | <p>Administrative controls: Completion of training requirements; risk analyses performed annually; branch management reviewing access requests and granting minimal amount of access.</p> <p>Technical controls: Users are authenticated and data secured using operating system and server security, administered by the local system administrator. PII data is encrypted at rest and in transits with access restricted to specific authorized users as required by HHS and CDC policy. All user access to the REDCap web application is authenticated via CDC's Digital Support Office-Secure Access Management System (SAMS), including authorized CDC users.</p> <p>Physical- Data is housed within the FEDRamp approved Microsoft Azure facility within the CDC Office of the Chief Information Officer (OCIO) managed tenant. The Azure data center's physical security begins at the perimeter layer. This layer includes a number of security features depending on the location, such as security guards, fencing, security feeds, intrusion detection technology, and other security measures commensurate with the FEDRamp approval.</p> <p>All components of the REDCap system reside in a CDC managed, FEDRamp approved Azure environment.</p> |

| Review and Comments                     |                                                                                                                                                                                                             |                                     |                                                                                                                                                                                     |                |                |
|-----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|----------------|
| OpDiv Privacy Analyst Review            |                                                                                                                                                                                                             |                                     |                                                                                                                                                                                     |                |                |
| Privacy Analyst Review Decision:        | Approved                                                                                                                                                                                                    | Privacy Analyst Review Date:        | 4/24/2026                                                                                                                                                                           |                |                |
| Privacy Analyst Review Comments:        |                                                                                                                                                                                                             | # of Days - PA Review:              | 0                                                                                                                                                                                   |                |                |
| SOP Review                              |                                                                                                                                                                                                             |                                     |                                                                                                                                                                                     |                |                |
| SOP Review Decision:                    | Approved                                                                                                                                                                                                    | SOP Review Date:                    | 4/27/2026                                                                                                                                                                           |                |                |
| SOP Review Comments:                    | Approved on behalf of Beverly Walker                                                                                                                                                                        |                                     | # of Days - SOP Review:                                                                                                                                                             | 3              |                |
| Agency Privacy Analyst Review           |                                                                                                                                                                                                             |                                     |                                                                                                                                                                                     |                |                |
| Agency Privacy Analyst Review Decision: | Approved                                                                                                                                                                                                    | Agency Privacy Analyst Review Date: | 5/13/2026                                                                                                                                                                           |                |                |
| Agency Privacy Analyst Review Comments: | Reviewer: Christopher Akhibi<br><br>5/13/2026 All comments have been addressed. This PIA is ready for SAOP review and approval.<br><br>4/28/2026<br><br>PIA-29B: Response is blank (or didn't sync to OIS). |                                     | # of Days - APA Review:                                                                                                                                                             | 16             |                |
| SAOP Review                             |                                                                                                                                                                                                             |                                     |                                                                                                                                                                                     |                |                |
| SAOP Review Decision:                   | Approved                                                                                                                                                                                                    | SAOP Review Date:                   | 5/29/2026                                                                                                                                                                           |                |                |
| SAOP Review Comments:                   |                                                                                                                                                                                                             |                                     | # of Days - SAOP Review:                                                                                                                                                            | 16             |                |
| SAOP Signature                          |                                                                                                                                                                                                             |                                     |                                                                                                                                                                                     |                |                |
| Date                                    | User                                                                                                                                                                                                        | Type                                | Name                                                                                                                                                                                | Original Value | New Value      |
| 5/29/2026 2:43 PM                       | BAUR, VANESSA                                                                                                                                                                                               | Signature                           | SAOP (Email PIN)                                                                                                                                                                    |                | Content Signed |
| Supporting Document(s)                  |                                                                                                                                                                                                             |                                     |                                                                                                                                                                                     |                |                |
| Name                                    |                                                                                                                                                                                                             | Size                                | Type                                                                                                                                                                                | Upload Date    | Downloads      |
| No Records Found                        |                                                                                                                                                                                                             |                                     |                                                                                                                                                                                     |                |                |
| Comments                                |                                                                                                                                                                                                             |                                     |                                                                                                                                                                                     |                |                |
| Question Name                           | Submitter                                                                                                                                                                                                   | Date                                | Comment                                                                                                                                                                             | Attachment     |                |
| PTA 05                                  | Data Feed Service, pta_pia_CDC_Release                                                                                                                                                                      | 4/1/2026                            | 1.The following information/data types are not identified in the BSI Section 3. Please include <b>all information/data types (Non-PII and PII)</b> in the BSI. They should match in |                |                |

this response, the BSI Section 3, and described in PTA-6.

Ex. The exact nature, type, and amount of PII collected will vary from survey to survey but is limited to a subset of Name, Mother's Maiden Name, E-Mail Address Mailing, Phone Numbers, Medical Notes, Certificates, Education Records, Military Status, Foreign Activities, Date of Birth, Photographic Identifiers, Mailing Address, Medical Records Number, Legal Documents, Device Identifiers, or Employment Status per survey, symptoms and environmental exposures

2. Please confirm "E-Mail Address Mailing", as mailing address is in the list above.

|         |                                           |          |                                                                                                                                                                                                                                                                                                                                                                  |
|---------|-------------------------------------------|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PIA 22  | Data Feed Service,<br>pta_pia_CDC_Release | 4/1/2026 | <p>1. Please confirm that all PII is identified, there are some missing from PTA-5 ex. Mother's Maiden Name, medical notes, certificates, etc.</p> <p>2. Please confirm "Mailing Address (Business)" as it is not stated in PTA-5 or PTA-6. Suggestive Language: Mailing Address (Personal/Business). Please update PTA-5 and PTA-6, if needed.</p> <p>•</p>     |
| PIA 29  | Data Feed Service,<br>pta_pia_CDC_Release | 4/1/2026 | Please confirm. How are the projects reviewed by a manager or supervisor?                                                                                                                                                                                                                                                                                        |
| PIA 31B | Data Feed Service,<br>pta_pia_CDC_Release | 4/1/2026 | Please add a "d" to "require" in the fourth sentence.                                                                                                                                                                                                                                                                                                            |
| PIA 36  | Data Feed Service,<br>pta_pia_CDC_Release | 4/1/2026 | Please explain what "Patient PII data" consist of or contains, this term is not identified in PTA-5, PTA-6, or the BSI Section 3.                                                                                                                                                                                                                                |
| PIA 34  | Data Feed Service,<br>pta_pia_CDC_Release | 4/1/2026 | First use "Q23", please spell out.                                                                                                                                                                                                                                                                                                                               |
| PTA 05  | Data Feed Service,<br>pta_pia_CDC_Release | 4/9/2026 | <p>The BSI mentions the following below. Please insure that these data types are included in in PTA 5.</p> <p>“1. METADATA table containing all study data pertaining to database storage (data field types and naming used for automatic creation of separate data storage table) and case report form presentation (form names and security levels, field-</p> |

specific display and validation rules)

2. LOGGING table used to store all information about data changes and exports
3. DOCS table used to store uploaded (ex. consent forms, analysis code) or generated export files (SAS, SPSS, R, Stata, Excel)
4. RIGHTS table containing specific researcher rights and expiration settings
5. Flat DATA table used to store all collected data for the study (one row per subject with all collected data fields stored in columns)."

PTA 06

Data Feed Service,  
pta\_pia\_CDC\_Release

4/9/2026

The BSI mentions the following below. Please insure that these data types are included in in PTA 6 and explain why this system needs this data.

- "1. METADATA table containing all study data pertaining to database storage (data field types and naming used for automatic creation of separate data storage table) and case report form presentation (form names and security levels, field-specific display and validation rules)
2. LOGGING table used to store all information about data changes and exports
3. DOCS table used to store uploaded (ex. consent forms, analysis code) or generated export files (SAS, SPSS, R, Stata, Excel)
4. RIGHTS table containing specific researcher rights and expiration settings
5. Flat DATA table used to store all collected data for the study (one row per subject with all collected data fields stored in columns)."

PTA 06

Data Feed Service,  
pta\_pia\_CDC\_Release

4/13/2026

1.Please remove bullets, stars and asterisks as this is better for 508 compliances.

2.Please refrain from using technical jargon. Let's not give the public information that would make us vulnerable to an attack. Please remove the following: "MySQL".

3. Please confirm if METADATA is missing from the sentence. "1. table containing all study data pertaining to database storage (data field types and naming used for automatic creation of separate data storage table) and case report form presentation (form names and security levels, field-specific display and validation rules) "

|         |                                           |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                        |
|---------|-------------------------------------------|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|
| PTA 05  | Data Feed Service,<br>pta_pia_CDC_Release | 4/13/2026 | <p>1. Please remove bullets, stars and asterisks as this is better for 508 compliances.</p> <p>2. Please refrain from using technical jargon. Let's not give the public information that would make us vulnerable to an attack. Please remove the following: "MySQL".</p> <p>3. Please confirm if METADATA is missing from the sentence. "1. table containing all study data pertaining to database storage (data field types and naming used for automatic creation of separate data storage table) and case report form presentation (form names and security levels, field-specific display and validation rules) "</p> |                                                                                                                                        |
| PTA 01A | Data Feed Service,<br>pta_pia_CDC_Release | 4/22/2026 | Provide the organization. For example (OCOO/OCIO/CSPO)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                        |
| PIA 29B | AKHIBI, CHRISTOPHER                       | 4/28/2026 | <p>PIA-29B</p> <p>Response is blank (or didn't sync to OIS).</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                        |
| PIA 29B | BLAND, CRYSTAL                            | 4/29/2026 | <p>Per CDC's Email:</p> <p>CDC SORN Number</p> <p>09-20-0136 Epidemiologic Studies and Surveillance of Disease Problems</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <p>Re_ CDC - OCIO Azure GSS - Research Electronic Data Capture - QTR1 - 2026 - CDC8887424.pdf</p> <p>REDCap Privacy_Assessment.rtf</p> |