

**U.S. Consumer Product Safety Commission  
PRIVACY IMPACT ASSESSMENT**

Name of Project:	FOIAXpress by AINS, Inc. with the e-FOIA PAL (Public Access Link) and EMNS (Electronic Manufacturing Notification System/Collaboration Portal) modules
Office/Directorate:	GCOS

**A. CONTACT INFORMATION**

Person completing PIA: (Name, title, organization and ext.)	Angela T. Heggs, GCOS, x6991
System Owner: (Name, title, organization and ext.)	Todd A Stevenson, GCOS, x6836
System Manager: (Name, title, organization and ext.)	Alberta E. Mills, GCOS, x7479

<b>B. APPROVING OFFICIALS</b>	<b>Signature</b>	<b>Approve</b>	<b>Disapprove</b>	<b>Date</b>
System Owner	Todd A. Stevenson, GCOS			
Privacy Advocate	Bobby Sanderson, ISSO			
Chief Information Security Officer	Patrick Manley, CISO			
Senior Agency Official for Privacy  System of Record? __XX_Yes      ___No	Mary James, Deputy CIO			
Reviewing Official:	James Rolfes, CIO			

**C. SYSTEM APPLICATION/GENERAL INFORMATION**

1. Does this system contain any personal information about individuals? (If there is <b>NO</b> information collected, maintained, or used that is identifiable to the individual, the remainder of PIA does not have to be completed.)	FOIAXpress: Yes.  PAL : Yes.  EMNS : Yes.
2. Is this an electronic system?	Yes

**D. DATA IN THE SYSTEM**

<p>1. What categories of individuals are covered in the system? (public, employees, contractors)</p>	<p>FOIAXpress: Private citizens, attorneys, educators, students, health care professionals, manufacturers, retailers, distributors, importers, local, state and federal government employees and their contractors.          PAL : Same as FOIAXpress          EMNS : Same as FOIAXpress</p>
<p>2. Generally describe what data/information will be collected in the system.</p>	<p>FOIAXpress: The requester is asked for their full name, address, telephone number, e-mail address and other pertinent information related to processing and responding to their FOIA and Privacy Act requests. The requester may submit correspondence containing additional information, such as a fax number, work address, work telephone number, work e-mail address, social security number, medical record number, driver's license number, insurance policy number, checking/savings account number or credit card number.</p> <p>The data being stored in the system may consist of CPSC staff notes, technical reports, calendars, travel itineraries; agency recalls, investigation reports, incident reports; meeting logs and briefing packages; testing criteria and test results; personnel records, rankings and hiring criteria; birth certificates, death certificates; driver's license numbers, social security numbers, insurance policy numbers and documents, photographs of consumers; photographs of products; medical records; medical examiner and autopsy reports; police reports, fire/EMS reports, criminal records, legal transcripts, court dockets and appeals; manufacturer product information including technical drawings, testing results, consumer complaints, reports and correspondence.</p> <p>PAL : The requester is asked for their full name, address, billing address, telephone number, e-mail address and other pertinent information related to submitting a FOIA request.          The data stored in the system is the same as the FOIAXpress data.</p> <p>EMNS : The party representing the manufacturer will be asked for the company name, their full name, title, address, telephone number, fax, e-mail address.          The data stored in the system is the same as the FOIAXpress data.</p>
<p>3. Is the source of the information from the individual or is it taken from another source? If not directly from individual, then what other source?</p>	<p>FOIAXpress: Information is received from the Individual, the parent or legal representative by letter, e-mail, or fax. Occasionally, another Federal agency may submit a FOIA request on behalf of an individual.          PAL : Information is received from the individual, the parent or legal representative by electronic submission.          EMNS : Information is received from communications with the manufacturer and from CPSC's RMS application.</p>
<p>4. How will data be checked for completeness?</p>	<p>FOIAXpress: The requesters data records have mandatory fields that are required to be completed before the records can be saved.          PAL : The requesters data records have mandatory fields that are required to be completed before the records can be saved.          EMNS : The manufacturers data records have mandatory fields that are required to be completed before the record can be saved.</p>

<p>5. <b>Is the data current?</b> (What steps or procedures are taken to ensure the data is current and not out-of-date?)</p>	<p>FOIAXpress: Not all of the data stored in FOIAXpress is current. If the FOI staff learns that a requester's contact information has changed, the staff will update the requester's record.</p> <p>PAL : Not all of the requester data which is stored in FOIAXpress is current. The PAL requester can update his/her information if they register with the application. The FOI staff has the ability to update a requester's information if we learn that the requester's information on file that has changed.</p> <p>EMNS : New system so the data is current. The manufacturer usually notifies the FOI staff of any personnel or address changes in writing or in response to a FOIA request. The FOI staff will update a manufacturer's information stored in FOIAXpress.</p>
<p>6. <b>Are the data elements described in detail and documented?</b> (If yes, what is the name and location of the document?)</p>	<p>The data elements are described in detail above.</p>
<p><b>E. ATTRIBUTES OF THE DATA</b></p>	
<p>1. <b>Explain how the use of the data is both relevant and necessary to the purpose for which the system is being designed?</b></p>	<p>FOIAXpress: The data is both relevant and necessary for the processing of the FOIA requests within the CPSC regulations and FOIA statutes. The requester's contact information may be used to contact the requester, should the need arise, for request clarification or to inform the requester of processing fees, the CPSC regulations and the FOIA statutes.</p> <p>PAL : Same as with FOIAXpress.</p> <p>EMNS : The data is both relevant and necessary for the processing of the FOIA requests within the CPSC regulations and FOIA statutes. The manufacturer's contact information may be used to contact the manufacturer, should the need arise, for clarification with the comments and claims of confidentiality they have submitted in response to a FOIA request notice from the Commission.</p>
<p>2. <b>For electronic systems, if the data is being consolidated, what controls are in place to protect the data from unauthorized access or use? Explain.</b></p>	<p>FOIAXpress: The data is controlled by providing access only to the CPSC staff that need access to perform their assigned duties regarding the processing of a FOIA request or the administration of the system. All staff are issued User IDs and passwords to access the system.</p> <p>PAL : The data is controlled by requiring requesters to register for a User ID and password to gain access to the system to submit and review the details of only their requests.</p> <p>EMNS : The manufacturer's contact person will be registered for a User ID and password to gain access to the system to review FOIA requests received regarding their company.</p>
<p>3. <b>How will the data be retrieved? Can it be retrieved by a personal identifier? If yes, explain and list the identifiers that will be used to retrieve information on the individual.</b></p>	<p>FOIAXpress: The data will be retrieved by a unique tracking number. Yes, the data may be retrieved by a personal identifier such as last name, first name, company name, title, e-mail address, and address.</p> <p>PAL : If not registered or signed into the application, limited data can be retrieved by a unique tracking number and a personal identifier (last name). If registered and signed into the application, the data can be retrieved by a unique tracking number. In addition, the data may be retrieved in FOIAXpress by a unique tracking number and personal identifiers, such as last name, first name, company name, title, e-mail address, and address.</p> <p>EMNS : If signed into the application, the data will be retrieved by a unique tracking number. In addition, the data can be retrieved in FOIAXpress by a unique tracking number and personal identifiers, such as last name, first</p>

	name, company name, title, e-mail address, and address.
4. What opportunities do individuals have to decline to provide information or to consent to particular uses of the information?	FOIAXpress, PAL and EMNS: Individuals or their legal representatives do not have any opportunities to decline to provide information or to consent to particular use of the information when they submit a FOIA request with the Commission. With regards to the data files the Commission processes in response to a FOIA request, the Consumer Product Safety Act (CPSA) allows a consumer or their legal representative to instruct the Commission of whether or not the name of a consumer in a CPSC report can be released to the manufacturer or public. In addition, the Commission is required to notify the manufacturer if the identity of a manufacturer can be readily ascertained within a report the Commission is proposing to disclose in response to a FOIA request. The manufacturer can submit their comments and claims of confidentiality regarding the release of the material.

**F. MAINTENANCE AND ADMINISTRATIVE CONTROLS**

1. What are the retention periods of data in this system?	Data in the system will adhere to the National Archives and Records Administration (NARA) General Records Schedule 4.2 (old GRS 14)
2. What are the procedures for disposition of the data at the end of the retention period? How long will the reports produced be kept? Where are the procedures documented?	The disposition of data will adhere to the records management schedule being implemented within CPSC and/or NARA.
3. For electronic systems, will this system provide the capability to identify, locate, and monitor individuals? If yes, explain.	No
4. For electronic systems only, what controls will be used to prevent unauthorized monitoring?	CPSC Network access and an application User ID and password are required.
5. Is this system currently identified as a CPSC system of records? If so, under which notice does the system operate?	Yes, CPSC-25
6. If the system is being modified, will the Privacy Act system of records notice require amendment or revision? Explain	Yes, Amendment

**G. ACCESS TO DATA**

1. Who will have access to the data in the system? (e.g., contractors, managers, system administrators, developers, other).	The FOI staff, some of the Clearinghouse staff and one member of the General Counsel staff and the requester's who register for an account in PAL.
2. What controls are in place to prevent the misuse of data by those having access? (Please list processes and training materials.)	The CPSC staff have access to the FOIAXpress, PAL and EMNS based on their roles of processing a FOIA request. CPSC staff are provided training on proper use of the data. PAL requesters will have access to their own FOIA requests and the disclosed data.
3. Who is responsible for assuring proper use of the data?	The application owner, manager and administrator with the assistance of the IT staff.

<p><b>4. Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system? Are contractors involved in the collection of the data? If yes, were Privacy Act contract clauses inserted in their contracts and other regulatory measures addressed?</b></p>	<p>Yes, the developer AINS, Inc., is a contractor who was involved in the design and development of PAL and they will provide application support and maintenance for FOIAXpress, PAL and EMNS. The contractor will be required to sign a data security agreement.</p> <p>No, the contractor will not be involved in the collection of data.</p>
<p><b>5. Do other systems share data or have access to the data in the system? If yes, explain. Who will be responsible for protecting the privacy rights of the public and employees affected by the interface?</b></p>	<p>Yes, the FOIAXpress, PAL and EMNS applications will have access and share data. The data files stored in FOIAXpress are used in PAL and the EMNS for processing FOIA requests.</p>
<p><b>6. Will other agencies share data or have access to the data in this system? If yes, how will the data be used by the other agency?</b></p>	<p>No, other agencies will not share the data unless they were the submitter's of the FOIA request. The data will be used to respond to a FOIA request.</p>
<p><b>7. Will any of the personally identifiable information be accessed remotely or physically removed?</b></p>	<p>Yes, the personally identifiable information will be accessed remotely when the CPSC FOI staff teleworks and when the contractors administer technical support and/or maintenance.</p>