

1. Contact Information

Department of State Privacy Coordinator

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2. System Information

- (a) Date PIA was completed: August 28, 2008
- (b) Name of system: Passport Lookout Tracking System
- (c) System acronym: PLOTS
- (d) IT Asset Baseline (ITAB) number: 346
- (e) System description:

The Passport Lookout Tracking System (PLOTS) assists the Bureau of Consular Affairs to manage and adjudicate certain passport applications that trigger exception processing.

- (f) Reason for performing PIA:
 - New system
 - Significant modification to an existing system
 - To update existing PIA for a triennial security re-certification
- (g) Explanation of modification (if applicable): Not applicable.
- (h) Date of previous PIA (if applicable): September 27, 2005

3. Characterization of the Information

The system:

- Does NOT contain PII.
- Does contain PII.

a. What elements of PII are collected and maintained by the system? What are the sources of the information?

PLOTS collects and maintains records related to applications for U.S. passports. PLOTS does not monitor or record in any way the travel of U.S. citizens. Sources of the information are U.S. citizens applying for passports, other Department of State computer systems, passport specialists, and fraud prevention managers.

The record subjects in PLOTS are individuals who may be denied a passport or be issued only a restricted passport for certain other reasons permissible by statute.

Components of an individual's record (called a "case") in PLOTS are of two kinds. The first kind is the passport application and all supporting documentation related to it, including citizenship evidence, correspondence, reports of investigation, passport specialists' diary

entries, court orders, passport revocation actions, and passport denial actions. The passport application and supporting documents are imported into PLOTS electronically by way of separate Consular Affairs passport processing systems, not directly from the applicant.

The second kind of information in PLOTS about an individual is one or more “lookouts.” Lookouts serve to alert passport specialists of possible fraud or other irregularities related to a person having the same or similar name and date of birth as that of the applicant. Lookouts may be created by passport specialists at passport agencies or centers and at overseas posts using a separate Consular Affairs computer system called the Consular Lookout and Support System (CLASS), or may be created directly in PLOTS by the specialist.

b. How is the information collected?

Lookouts and diary entries (described above) are data entered or imported into the PLOTS case file by authorized users.

c. Why is the information collected and maintained?

The U.S. passport identifies the bearer as a U.S. citizen or national. It is a request to foreign governments to permit travel or temporary residence in their territories and access to all lawful local aid and protection. It also allows bearers access to U.S. consular services and assistance while abroad and re-entry into the U.S.

PLOTS collects and maintains only information that is directly relevant to the lawful issuance of passports and the protection of the integrity of the passport as proof of United States citizenship at home and around the world. Information collected and maintained in PLOTS is used only for those purposes.

PLOTS warns Consular Affairs officials that an individual may, by statute or regulation, be ineligible to receive a passport or that a passport should have restrictions put upon it. PLOTS is used by domestic and overseas Department of State staff. PLOTS allows a passport specialist to view all information related to a case, including information that originates in other Consular Affairs systems.

d. How will the information be checked for accuracy?

Quality control measures are followed to ensure that lookouts and other information entered into the case file are accurate and relevant to the record subject and minimize instances of faulty adverse determinations.

e. What specific legal authorities, arrangements, and/or agreements define the collection of information?

The following authorities provide for the administration of the program supported by PLOTS:

- 8 U.S.C. Chapter 12, Immigration and Nationality
- 18 U.S.C. Chapter 43, False Personation
- 18 U.S.C. Chapter 47, Fraud and False Statements
- 18 U.S.C. Chapter 75, Passports and Visas
- 22 U.S.C. Chapter 4, Passports
- 22 U.S.C. Section 2651a, Organization of Department of State
- 22 U.S.C. Section 2705, Documentation of Citizenship

- Executive Order 11295, Rules Governing the Granting, Issuing, and Verifying of United States Passports

4. Uses of the Information

a. Describe all uses of the information.

PLOTS collects and maintains only information that is directly relevant to the lawful issuance of passports. An individual's record is retrieved from PLOTS by their name and date of birth. Because records are retrieved by name and/or other unique identifiers, PLOTS constitutes a Privacy Act system of records.

No technology or capability exists in the system to identify, monitor, track, or locate individuals in "real time." Address and contact information of passport applicants is collected on their application or supporting documents. The information may reflect locations where the individual has interacted with a passport agency or center. Address and contact information is used only to contact or correspond with the applicant regarding their case, or by law enforcement under the authority of a routine use described in the Privacy Act system of records named STATE-26, Passport Records.

b. What types of methods are used to analyze the data? What new information may be produced?

PLOTS does not produce new information, it functions as an alert system only.

c. If the system uses commercial information, publicly available information, or information from other Federal agency databases, explain how it is used.

PLOTS does not use commercial information, publicly available information, or information from other Federal agency databases.

d. Is the system a contractor used and owned system?

PLOTS is a government system. It is supported by contract employees, some of whom are located at contractor-owned facilities. Direct-hire U.S. government employees have the sole responsibility for adjudicating passport applications to determine if applicants are U.S. citizens and qualify for passport issuance. Contractors support government employees by entering data, printing and mailing passports, and answering customer service inquiries.

Contractors involved in the passport fulfillment process (i.e., data entry, scanning, or correction of records or the printing and mailing of passports) are subjected to a background investigation by the contract employer equivalent to a "National Agency Check" of the files of certain government agencies (e.g., criminal law enforcement and homeland security databases) for pertinent facts bearing on the loyalty and trustworthiness of the individual. All contractors involved in the development or maintenance of PLOTS hardware or software must have at least a Secret-level security clearance.

All employees and contractors undergo an annual computer security briefing and Privacy Act briefing from both the Department of State and the contract employer. All contracts contain approved Federal Acquisition Regulation (FAR) Privacy Act clauses. Contractor-owned facilities are annually inspected by Diplomatic Security.

5. Retention

How long is information retained?

The retention period for PLOTS records is 100 years.

6. Internal Sharing and Disclosure

a. With which internal organizations is the information shared? What information is shared? For what purpose is the information shared?

The Bureau of Consular Affairs oversees a network of facilities that may internally share or disclose the personal information collected and maintained in PLOTS. These facilities include over a dozen regional passport agencies, a special issuance agency, three national processing facilities, the National Passport Information Center, and the Headquarters offices in Washington, DC. United States embassies and consulates abroad may also be involved in the adjudication of a PLOTS case. Information is shared within these entities only for the purpose of issuing or denying a passport, subject to the law.

b. How is the information transmitted or disclosed? What safeguards are in place for each sharing arrangement?

PLOTS is accessed by authorized users by secure transmission methods permitted under Department of State policy for the handling and transmission of sensitive but unclassified (SBU) information.

7. External Sharing and Disclosure

a. With which external organizations is the information shared? What information is shared? For what purpose is the information shared?

PLOTS information maintained by Consular Affairs is not shared with any external organizations.

b. How is the information shared outside the Department? What safeguards are in place for each sharing arrangement?

Not applicable.

8. Notice

The system:

- Contains information covered by the Privacy Act.
The information in this system is covered by STATE-26, Passport Records, which was last amended January 8, 2008, at 70 FR 1660-1664.
- Does NOT contain information covered by the Privacy Act.

a. Is notice provided to the individual prior to collection of their information?

Notice is not applicable because PLOTS does not collect information directly from a record subject.

b. Do individuals have the opportunity and/or right to decline to provide information?

These conditions do not apply to PLOTS because the system does not collect information directly from a record subject.

c. Do individuals have the right to consent to limited, special, and/or specific uses of the information? If so, how does the individual exercise the right?

These conditions do not apply to PLOTS because the system does not collect information directly from a record subject.

9. Notification and Redress

What are the procedures to allow individuals to gain access to their information and to amend information they believe to be incorrect?

PLOTS contains Privacy Act-covered records; therefore, notification and redress are rights of record subjects. Procedures for notification and redress are published in the system of records notice identified in paragraph 8 above, and in rules published at 22 CFR 171.31. The procedures inform the individual about how to inquire about the existence of records about them, how to request access to their records, and how to request amendment of their record. Certain exemptions to Privacy Act provisions for notification and redress may exist for certain portions of a passport records on grounds pertaining to law enforcement, in the interest of national defense and foreign policy if the records have been properly classified, and to carry out protective responsibilities under 18 U.S.C. 3056. These exemptions are published as agency rules at 22 CFR 171.32.

10. Controls on Access

a. What procedures are in place to determine which users may access the system and the extent of their access? What monitoring, recording, and auditing safeguards are in place to prevent misuse of data?

Internal access to PLOTS is limited to authorized Department of State staff having a need for the system in the performance of their official duties. All users maintain a security clearance level at least commensurate with public trust positions. To access the system, the individual must first be an authorized user of the Department's unclassified computer network. Access to PLOTS requires a unique user account assigned by Consular Affairs.

Each prospective authorized user must first sign a user access agreement before being given a user account. The individual's supervisor must sign the agreement certifying that access is needed for the performance of official duties. The user access agreement includes a rules of behavior describing the individual's responsibility to safeguard information and prohibited activities (e.g., curiosity browsing). Completed applications are also reviewed and approved by the information system security officer (ISSO) prior to assigning the logon.

The level of access for the user restricts the data that may be seen and the degree to which data may be modified. A system use notification ("warning banner") is displayed before

log-on is permitted, and recaps the restrictions on the use of the system. Activity by authorized users is monitored, logged, and audited.

Non-production uses (e.g., testing, training) of production data are limited by administrative controls.

b. What privacy orientation or training for the system is provided authorized users?

All users are required to undergo computer security and privacy awareness training prior to accessing the system, and must complete refresher training yearly in order to retain access.

11. Technologies

What technologies are used in the system that involve privacy risk?

PLOTS operates under standard, commercially-available software products residing on a government-operated computing platforms not shared by other business applications or technologies. No technologies commonly considered to elevate privacy risk are employed.

12. Security

What is the security certification and accreditation (C&A) status of the system?

The Department of State operates PLOTS in accordance with information security requirements and procedures required by federal law and policy to ensure that information is appropriately secured. The Department has conducted a risk assessment of the system, identified appropriate security controls to protect against that risk, and implemented those controls. The Department performs monitoring, testing, and evaluation of security controls on a regular basis to ensure that the controls continue to work properly. In accordance with the Federal Information Security Management Act provision for the triennial recertification of this system, its most recent date of authorization to operate was May 29, 2007.