

Foreign Agricultural Service
United States Department of Agriculture

Privacy Impact Assessment

For

**Dairy Accelerated Importer Retrieval
and Information Exchange System
(DAIRIES)**

January 2007

Privacy Impact Assessment Authorization Memorandum

I have carefully assessed the Privacy Impact Assessment for the Dairy Accelerated Importer Retrieval and Information Exchange System. This document has been completed in accordance with the requirements of the E-Government Act of 2002.

MANAGEMENT CERTIFICATION – Please check the appropriate statement.

_____ The document is accepted.

_____ The document is accepted pending the changes noted.

_____ The document is not accepted.

_____ We fully accept the changes as needed improvements and authorize initiation of work to proceed. Based on our authority and judgment, the continued operation of this system is authorized.

Brenda J. Lawson
System Manager

8/8/07
DATE

OCIO/Project Representative

DATE

Ron Lord
Program/Office Head

9/13/07
DATE

OCIO

DATE

Sally K. Resawitz
Chief FOI/PA

7/18/2007
DATE

[Signature]
Senior Official for Privacy

July 18, 2007
DATE

Name of Project: Dairy Accelerated Importer Retrieval and Information Exchange System (DAIRIES)

Program Office: Office of Trade Programs

Project's Unique ID:

A. CONTACT INFORMATION:

1. Who is the person completing this document?

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2. Who is the system owner?

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3. Who is the system manager for this system or application?

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4. Who is the IT Security Manager who reviewed this document?

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5. Did the Chief FOI/PA review this document? No, Not at this time

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6. Did the Agency's Senior Office for Privacy review this document? (Name, office, and contact information).

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7. Who is the Reviewing Official? (According to OMB, this is the agency CIO or other agency head designee, who is other than the official procuring the system or the official who conducts the PIA).

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B. SYSTEM APPLICATION/GENERAL INFORMATION:

1. Does this system contain any information about individuals?

Yes. It contains U.S. Customs Bond Registration Numbers.

(a) Is this information identifiable to the individual?

Yes.

(If there is **NO** information collected, maintained, or used that is identifiable to the individual in the system, the remainder of the Privacy Impact Assessment does not have to be completed past this section. Note: Clearance sheet must be signed and copies to IT Security and Chief FOI/PA must be provided.)

(b) Is the information about individual members of the public?

(If YES, a PIA must be submitted with the OMB Exhibit 300, and with the IT Security C&A documentation).

Yes.

(b) Is the information about employees? No.

(If yes and there is no information about members of the public, the PIA is required for the USDA IT Security C&A process, but is not required to be submitted with the OMB Exhibit 300 documentation).

2. What is the purpose of the system/application?

Users access the Dairy Accelerated Importer Retrieval and Information Exchange System (DAIRIES) web-based application to obtain import licenses, check the status of license information, and to verify their license usage. The Dairy Program Office accesses the client-server application to review and verify license information submitted by users from the DAIRIES web-based application.

3. What legal authority authorizes the purchase or development of this system/application?

The operation of DAIRIES is mandated by Federal Regulation: Code of Federal Regulations TITLE 7—AGRICULTURE PART 6 -- Subpart--Dairy Tariff-Rate Import Quota Licensing Import licensing is one of the tools the U.S. Department of Agriculture (USDA) uses to administer the tariff-rate quota (TRQ) system for U.S. imports of dairy products.

C. DATA in the SYSTEM:

1. Generally describe the type of information to be used in the system and what categories of individuals are covered in the system?

Individual dairy import license and application information to include: company name, address, telephone number, fax number, point-of-contact, agent name, email address, U.S. Customs Bond Registration Number, and ownership information. The system uses no employee or other information.

2. What are the sources of the information in the system?

(a) Is the source of the information from the individual or is it taken from another source? If not directly from the individual, then what other source?

Source of the information is taken from the individual and U.S. Customs and Border Protection.

(b) What Federal agencies are providing data for use in the system?

U.S. Customs and Border Protection provide data to the system.

(c) What State and local agencies are providing data for use in the system?

None.

(d) From what other third party sources will data be collected? None.

(e) What information will be collected from the employee and the public?

Dairy import license and application information to include company name, address, telephone number, fax number, point-of-contact, agent name, email address, U.S. Customs Bond Registration Number, and ownership information. The system uses no employee or other information.

3. Accuracy, Timeliness, and Reliability

(a) How will data collected from sources other than USDA records be verified for accuracy?

DAIRIES has a memorandum of understanding with U.S. Customs and Border Protection. Data will be cross-referenced with Customs using U.S. Customs Bond Registration Number and by reviewing notary statements reflecting accurate verification of customer.

(b) How will data be checked for completeness?

Hard copy will be checked.

(c) Is the data current? What steps or procedures are taken to ensure the data is current and not out-of-date? Name the document (e.g., data models).

The data is verified with data from U.S. Customs and Border Protection.

(d) Are the data elements described in detail and documented? If yes, what is the name of the document?

Data elements are described and documented in the DAIRIES Users' Manual.

D. ATTRIBUTES OF THE DATA:

1. Is the use of the data both relevant and necessary to the purpose for which the system is being designed?

Yes.

2. Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected, and how will this be maintained and filed?

No.

3. Will the new data be placed in the individual's record?

N/A.

4. Can the system make determinations about employees/public that would not be possible without the new data?

N/A.

5. How will the new data be verified for relevance and accuracy?

N/A.

- 6. If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?**

No consolidation occurs.

- 7. If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access? Explain.**

N/A.

- 8. How will the data be retrieved? Does a personal identifier retrieve the data? If yes, explain and list the identifiers that will be used to retrieve information on the individual.**

Data is retrieved by a control number, license number, and/or license year.

- 9. What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?**

No reports are produced on individuals.

- 10. What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses and how individuals can grant consent.)**

N/A.

E. MAINTENANCE AND ADMINISTRATIVE CONTROLS:

- 1. If the system is operated in more than one site, how will consistent use of the system and data be maintained in all sites?**

N/A.

- 2. What are the retention periods of data in this system?**

All data is retained indefinitely.

- 3. 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?**

N/A

- 4. Is the system using technologies in ways that the USDA has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?**

No.

5. **How does the use of this technology affect public/employee privacy?**
N/A.
6. **Will this system provide the capability to identify, locate, and monitor individuals? If yes, explain.**
No.
7. **What kinds of information are collected as a function of the monitoring of individuals?**
N/A.
8. **What controls will be used to prevent unauthorized monitoring?**
Firewalls and Access Control Lists determine access privileges.
9. **Under which Privacy Act systems of records notice does the system operate? Provide number and name.**
N/A.
10. **If the system is being modified, will the Privacy Act system of records notice require amendment or revision? Explain.**
The system is not being modified.

F. ACCESS TO DATA:

1. **Who will have access to the data in the system?** (E.g., contractors, users, managers, system administrators, developers, tribes, other)
Dairy Program Office, system administrators, developers (contractors and government employees), and applicant-users will have access to the data.
2. **How is access to the data by a user determined?** Are criteria, procedures, controls, and responsibilities regarding access documented?

DAIRIES System Owner authorizes users' access to the system. The users are assigned an individual control number after they have registered for an eAuthentication user id and password and have been verified by the Dairy Program Office.

3. **Will users have access to all data on the system or will the user's access be restricted? Explain.**
Users are only allowed to access their data.
4. **What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?** (Please list processes and training materials)
The data in the database is confidential. Users have an assigned unique control number for entering and reviewing their own data. There is a DAIRIES Web

Application Users' Manual.

- 5. Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system? If yes, are Privacy Act contract clauses inserted in their contracts and other regulatory measures addressed?**
Contractors are involved with the maintenance of the DAIRIES systems. They signed a Confidential Statement with the Dairy Program Office.
- 6. Do other systems share data or have access to the data in the system? If yes, explain.**
No.
- 7. Who will be responsible for protecting the privacy rights of the public and employees affected by the interface?**
N/A.
- 8. Will other agencies share data or have access to the data in this system (Federal, State, Local, Other)?**
None.
- 9. How will the data be used by the other agency?**
N/A.
- 10. Who is responsible for assuring proper use of the data?**
DAIRIES System Owner is responsible.

**APPENDIX A
DECLARATION OF PRIVACY PRINCIPLES**

The privacy principles set forth in this declaration are based on the ethical and legal obligations of the United States Department of Agriculture to the public and are the responsibility of all USDA employees to recognize and treat their office as a public trust.

The obligation to protect client and partner privacy and to safeguard the information clients and partners entrust to us is a fundamental part of the USDA’s mission to administer the law fairly and efficiently. Clients and partners have the right to expect that the information they provide will be safeguarded and used only in accordance with law. In recognition of these obligations, policies and procedures must clearly state who should have access to what information and for what purposes. In addition, appropriate limitations must be placed on the collection, use and dissemination of clients and partners’ personal and financial information and sufficient technological and administrative measures must be implemented to ensure the security of USDA data systems, processes and facilities.

All USDA employees are required to exhibit individual performance that reflects a commitment to dealing with every client and partner fairly and honestly and to respect the clients and partners’ right to feel secure that their personal information is protected. To promote and maintain clients and partners’ confidence in the privacy, confidentiality and security protections provided by the USDA, the USDA will be guided by the following Privacy Principles:

Principle 1:	Protecting citizen, client and partner privacy and safeguarding confidential citizen, client and partner information is a public trust.
Principle 2:	No information will be collected or used with respect to citizens, clients and partners that is not necessary and relevant for legally mandated or authorized purposes.
Principle 3:	Information will be collected, to the greatest extent practicable, directly from the citizen, client or partner to whom it relates.
Principle 4:	Information about citizens, clients and partners collected from third parties will be verified to the greatest extent practicable with the citizens, clients and partners themselves before action is taken against them.
Principle 5:	Personally identifiable citizen, client or partner information will be used only for the purpose for which it was collected, unless other uses are specifically authorized or mandated by law.
Principle 6:	Personally identifiable citizen, client or partner information will be disposed of at the end of the retention period required by law or regulation.

Principle 7:	Citizen, client or partner information will be kept confidential and will not be discussed with, nor disclosed to, any person within or outside the USDA other than as authorized by law and in the performance of official duties.
Principle 8:	Browsing, or any unauthorized access of citizen, client or partner information by any USDA employee, constitutes a serious breach of the confidentiality of that information and will not be tolerated.
Principle 9:	Requirements governing the accuracy, reliability, completeness, and timeliness of citizen, client or partner information will be such as to ensure fair treatment of all clients and partners.
Principle 10:	The privacy rights of citizens, clients and partners will be respected at all times and every citizen, client and partner will be treated honestly, fairly, and respectfully.

The Declaration does not, in itself, create any legal rights for clients and partners, but it is intended to express the full and sincere commitment of the USDA and its employees to the laws which protect client and partner privacy rights and which provide redress for violations of those rights.

APPENDIX B
POLICY STATEMENT ON CITIZEN, CLIENT AND PARTNER PRIVACY RIGHTS

The USDA is fully committed to protecting the privacy rights of all citizens, clients and partners. Many of these rights are stated in law. However, the USDA recognizes that compliance with legal requirements alone is not enough. The USDA also recognizes its social responsibility which is implicit in the ethical relationship between the USDA and the citizen, client or partner. The components of this ethical relationship are honesty, integrity, fairness, and respect.

Among the most basic of a citizens, clients, or partners' privacy rights is an expectation that the USDA will keep personal and financial information confidential. Citizens, clients and partners also have the right to expect that the USDA will collect, maintain, use, and disseminate personally identifiable information and data only as authorized by law and as necessary to carry out agency responsibilities.

The USDA will safeguard the integrity and availability of citizens, clients and partners' personal and financial data and maintain fair information and record keeping practices to ensure equitable treatment of all citizens, clients and partners. USDA employees will perform their duties in a manner that will recognize and enhance individuals' rights of privacy and will ensure that their activities are consistent with law, regulations, and good administrative practice. In our record keeping practices, the USDA will respect the individual's exercise of his/her First Amendment rights in accordance with law.

As an advocate for privacy rights, the USDA takes very seriously its social responsibility to citizens, clients and partners to limit and control information usage as well as to protect public and official access. In light of this responsibility, the USDA is equally concerned with the ethical treatment of citizens, clients and partners as well as their legal and administrative rights.