

U.S. Department of Justice

**THE CHIEF PRIVACY AND CIVIL LIBERTIES OFFICER AND
THE OFFICE OF PRIVACY AND CIVIL LIBERTIES**

**PRIVACY AND CIVIL LIBERTIES
ACTIVITIES QUARTERLY REPORT**



SECOND QUARTER 2011

DECEMBER 1, 2010 – MARCH 31, 2011

I. INTRODUCTION

Section 803 of the Implementing Recommendations of the 9/11 Commission Act of 2007, Pub. L. No. 110-53, 121 Stat. 266, 361-62 (codified at 42 U.S.C. § 2000ee-1(f)) (hereinafter “Section 803”), imposes quarterly reporting requirements on certain privacy and civil liberties activities of the Chief Privacy and Civil Liberties Officer (CPCLO) of the Department of Justice. Specifically, Section 803 requires each report to include information related to the discharge of certain privacy and civil liberties functions of the Department’s CPCLO, including information on: the number and types of reviews undertaken; the type of advice provided and the response given to such advice; the number and nature of the complaints received by the department, agency, or element concerned for alleged violations; and a summary of the disposition of such complaints, the reviews and inquiries conducted, and the impact of the activities of such officer. *Id.* Many of those functions are discharged, on behalf of the CPCLO, by the Department’s Office of Privacy and Civil Liberties (OPCL). Pursuant to Section 803, the Department submits the second quarter report for fiscal year 2011 on such activities of the Department’s CPCLO and OPCL.¹

II. FUNCTIONS DEFINED

In coordination with the Office of Management and Budget (OMB), the Department has established a standard reportable framework tailored to the missions and functions of its CPCLO. Accordingly, below is a brief outline defining the functions on which the CPCLO is required to report under Section 803.

III. REVIEWS

A review encompasses activities that are part of a systematic and repeatable process looking at privacy and/or civil liberties matters enumerated in controlling

¹ In order to maintain consistent quarterly privacy reporting schedules to OMB, the reporting period for Section 803 previously corresponded with the privacy reporting period established by OMB in the Reporting Instructions for the Federal Information Security Management Act and Agency Privacy Management. The Department now will be adhering to the fiscal calendar for its Section 803 quarterly report periods. Thus, to adjust to the fiscal quarter cycle, the second quarter of this report covers the activities of the Department’s CPCLO and OPCL from December 1, 2010 to March 31, 2011.

authorities, such as the Privacy Act of 1974, 5 U.S.C. § 552a; E-Government Act of 2002, 44 U.S.C. § 3501 (2006); and OMB Memo M-07-16. Examples of reviews may include:

1. Privacy Impact Assessments, required under Section 208 of the E-Government Act;
2. OMB Circular A-130 Privacy Act Reviews, incorporating certain statutory duties of the Privacy Act, including reviews of new and updated system of records and proposed rules for Privacy Act exemptions;
3. OMB Circular A-130 Computer Matching Reviews, which requires the Department to examine the privacy implications of sharing information to be used in matching arrangements;
4. OMB Memorandum M-07-16 Privacy & Security Reviews, including reviews of policies and procedures in order to safeguard against the breach of personally identifiable information (PII), such as PII holdings reviews, Social Security Number use reduction, or identity theft reviews; and
5. Information Sharing Environment Privacy Guidelines Assessment, including policy reviews and system assessments to ensure consistency with the ISE Privacy Guidelines;

IV. ADVICE

A. FORMAL ADVICE

Formal Advice encompasses the issuance of formal written policies, procedures, guidance, or interpretations of privacy requirements for circumstances or business processes, which have been drafted or authorized by the CPCLO and approved as official agency policy by Department leadership, to respond to issues or concerns regarding safeguards for privacy and civil liberties.

B. RESPONSE TO ADVICE

In addition, the report will indicate which of the following forms of final, formal advice the CPCLO has selected, such as the issuance of Privacy Impact Assessment Guidance. Examples of a response to advice may include:

1. Regulations;
2. Orders;

3. Guidance;
4. Agreements; or
5. Training.

V. COMPLAINTS

1. Privacy Complaints

A privacy complaint encompasses a written allegation concerning a problem with or violation of privacy protections in the administration of the programs and operations of the Department that is submitted to or through the CPCLO. This will not include complaints filed in litigation against the Department. The types of privacy complaints include:

1. Process and procedural issues (consent, collection, and appropriate notice);
2. Redress issues (non-Privacy Act inquiries seeking resolution of difficulties or concerns about privacy matters);
3. Operational issues (inquiries regarding general privacy matters not including Privacy Act requests for access and/or amendment).²

2. Civil Liberties Complaints

A written allegation (other than in the context of litigation) concerning a problem with or violation of civil liberties safeguards concerning the handling of personal information by the Department in the administration of Department programs and operations that is submitted to or through the CPCLO.

3. Dispositions of Complaints

For each type of privacy or civil liberties complaint received by the CPCLO during the quarter, the CPCLO will report the number of complaints in which (1) responsive action was taken or (2) no action was required. In the event a complaint is received within five business days of the last day of the close of the quarter, the

² This report excludes information related to requests for access to and amendment of information made pursuant to the Privacy Act of 1974, 5 U.S.C. § 552a.

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CPCLO/OPCL

Second Quarter 2011, December 1, 2010 – March 31, 2011

complaint may be counted and addressed in the subsequent quarter if time constraints hinder a thorough examination of the complaint in the quarter in which received.

**The United States Department of Justice
 Quarterly Report on Privacy and Civil Liberties Activities
 Under Section 803 of the 9/11 Commission Act of 2007
 Second Quarter, FY 2011, 12/1/10 to 3/31/11**

Type of Review	Number of Reviews
Privacy reviews on legislation, testimony, and reports	79
Initial Privacy Assessments	18
Privacy Impact Assessments <ul style="list-style-type: none"> • Justice Management Division – Personal Identity Verification Card System (Addendum) • United States Trustee Program – Automated Case Management System • United States Trustee Program -- Criminal Enforcement Tracking System • United States Trustee Program -- Means Test Review Management System 	4
System of Records Notices and Regulations	0

Advice Provided	Number
Privacy Compliance Training: <ul style="list-style-type: none"> • Office of Privacy and Civil Liberties: Privacy Compliance training through the Department’s Office of Legal Education 	1

Type of Complaints³	Number	Action Taken
Privacy	1	Referred to component for direct response
Civil Liberties	0	N/A

³ For the second quarter, OPCL received 50 inquiries in the form of emails or letters from members of the public and non-federal entities. After a thorough review, OPCL determined that only one of the inquiries received qualified as privacy or civil liberties complaints against the Department.