DEPARTMENT OF HOMELAND SECURITY

[Docket No. DHS-2020-0049]

Privacy Act of 1974; System of Records


ACTION: Notice of a Modified System of Records.

SUMMARY: In accordance with the Privacy Act of 1974, the U.S. Department of Homeland Security (DHS) proposes to modify a current DHS system of records titled, “DHS/ALL-047 Records Related to DHS Personnel, Long-Term Trainees, Contractors, and Visitors During a Declared Public Health Emergency System of Records,” and retitle it, “DHS/ALL-047 Records Related to DHS Personnel, Long-Term Trainees, Contractors, Mission Support Individuals, and Visitors During a Declared Public Health Emergency System of Records.” This system of records describes DHS’s collection, use, and maintenance of records on individuals associated with DHS and its facilities during a declared public health emergency. DHS is updating this system of records to more clearly articulate the relevant authorities and purpose; modify the categories of individuals to include individuals who support DHS missions, but were outside the previously defined categories of individuals; modify the categories of records to include those records collected and disclosed in accordance with the requirements of the Coronavirus Aid, Relief, and Economic Security Act (CARES Act); and add an additional routine use. This modified system will be included in DHS’s inventory of record systems.

DATES: Submit comments on or before [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]. This modified system will be effective upon publication. New or modified routine uses will be effective [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].
ADDRESSES: You may submit comments, identified by docket number DHS-2020-0049 by one of the following methods:

- Fax: 202-343-4010.

Instructions: All submissions received must include the agency name and docket number DHS-2020-0049. All comments received will be posted without change to http://www.regulations.gov, including any personal information provided.

Docket: For access to the docket to read background documents or comments received, go to http://www.regulations.gov.


SUPPLEMENTARY INFORMATION:

I. Background

The Secretary of the Department of Health and Human Services (HHS) may, under section 319 of the Public Health Service (PHS) Act (codified at 42 U.S.C. sec. 247d), declare that: a) a disease or disorder presents a public health emergency; or b) that a public health emergency, including significant outbreaks of infectious disease or bioterrorist attacks, otherwise exists. The declaration lasts for the duration of the emergency or 90 days but may be extended by the Secretary of HHS. Congress must be notified of the declaration within 48 hours. The U.S. Department of Homeland Security (DHS) must ensure the safety of its workforce, including when the Secretary of HHS or
the responsible, designated State official determines and declares that a public health emergency exists. Responses to public health emergencies depend on the nature of the emergency, but in the context of infectious disease or other events that can cause widespread harm to the health of DHS personnel and others in DHS facilities, in order to ensure a safe and secure workspace, DHS may collect information on DHS personnel (i.e., employees, detailees, interns, and volunteers), contractors, long-term trainees, mission support individuals, and visitors at or on buildings, grounds, and properties that are owned, leased, or used by DHS.

This system of records covers information collected on DHS personnel, contractors, long-term trainees, mission support individuals, and visitors at or on buildings, grounds, and properties that are owned, leased, or used by DHS who have contracted or may have been exposed to a suspected or confirmed disease or illness that is the subject of a declared public health emergency or who must undergo preventative testing for a disease or illness that is the subject of a declared public health emergency as a requirement of federal, state, or local public health orders. The information collected may include identifying and contact information of individuals who have been suspected or confirmed to have contracted a disease or illness, or who have been exposed to an individual who had been suspected or confirmed to have contracted a disease or illness, related to a declared public health emergency; individual circumstances and dates of suspected exposure; testing results, symptoms, and treatments; and health status information. DHS maintains this information to reduce the spread of the disease or illness among DHS personnel, contractors, long-term trainees, mission support individuals, and visitors at or on buildings, grounds, and properties that are owned, leased, or used by DHS. In certain instances, depending on the type of record collected and maintained, for federal employees, this information will also be maintained and covered by Office of Personnel Management/Government-10 Employee Medical File System Records (75 FR
35099, June 21, 2010). However, any collection and use of records covered by the DHS/ALL-047 Records Related to DHS Personnel, Long-Term Trainees, Contractors, Mission Support Individuals, and Visitors During a Declared Public Health Emergency System of Records is only permitted during times of a declared public health emergency and when the circumstances permit the Department to collect and maintain such information on the various categories of DHS personnel, contractors, long-term trainees, mission support individuals, and visitors at or on buildings, grounds, and properties that are owned, leased, or used by DHS.

It must first be determined that the circumstances surrounding the declared public health emergency permit the Department to collect and maintain the information that may fall within the scope of this system of records. To make this determination, these circumstances must be examined in conjunction with all applicable laws, including the U.S. Constitution, federal privacy laws, federal labor and employment laws, and federal workforce health and safety laws. Different laws may apply depending upon the type of information at issue, who the information pertains to, who collected the information, and how the information is collected, maintained, and used by the Department.

For instance, when collecting information on DHS employees, there are several employment laws that govern the collection, dissemination, and retention of employee medical information. These employment laws include the Americans with Disability Act (ADA), the Rehabilitation Act of 1973 (Rehab Act), and the Occupational Safety and Health Act of 1970 (OSH Act). Generally, under federal employment laws, medical information pertaining to employees is confidential and may be obtained by an employer only for certain reasons and only at certain points in the employment relationship. During a public health emergency, an employer may be permitted to collect certain employee medical information that it would not otherwise be permitted to collect depending upon the circumstances. Whether an employer is permitted to collect otherwise confidential
employee medical information during a public health emergency depends upon whether an employee or a potential employee poses a “direct threat” to others within the meaning of the Americans with Disabilities Act of 1990, the Americans with Disabilities Amendments Act of 2008, and the Rehabilitation Act of 1973. Again, this system of records will apply if it is determined that the circumstances permit the Department to legally collect the employee medical information at issue in the first instance.

Further, this system of records notice (SORN) is being updated to include a reference to the Genetic Information Nondiscrimination Act of 2008 (GINA), 42 U.S.C. 2000ff to ff-11. Title II of GINA prohibits employment discrimination based on genetic information, including family medical history; restricts the circumstances under which employers may lawfully acquire applicants’ and employees’ genetic information; and prohibits the disclosure of applicants’ and employees’ genetic information, with limited exceptions, including those stated in 42 U.S.C. 2000ff-5(b) and 29 CFR 1635.9(b). DHS may request the circumstances of an individual’s suspected or actual exposure to a disease or illness that is the subject of a declared public health emergency, including the source of exposure. Although it is not the intent for DHS to collect family medical information, an individual may indicate that they were exposed to specific family members who have been diagnosed with, or are suspected to have, the disease or illness in question. To the extent this information may be acquired inadvertently, such information will be kept as a “confidential medical record” and maintained separately from an employee’s general medical files, pursuant to 42 U.S.C. 2000ff-5(a) and 29 CFR 1635.9(a).

This SORN is also being updated to include DHS mission support individuals in the categories of individuals. DHS mission support individuals include those who are assigned from other federal, state, local, or private agencies to support DHS missions and operations at or on buildings, grounds, and properties that are owned, leased, or used by
DHS. For example, the Federal Emergency Management Agency (FEMA) may collect information from non-DHS individuals, including those from a state agency, that have been assigned to work a disaster response in support of DHS and FEMA.

Additionally, this SORN is being published to update the authorities and categories of records to include records that are required to be reported to public health officials in accordance with the Coronavirus Aid, Relief, and Economic Security Act (CARES Act), as cited in the authorities’ section below. The CARES Act requires “[e]very laboratory that performs or analyzes a test that is intended to detect or to diagnose a possible case of COVID-19 to report the results from each such test to the Secretary of HHS in such form and manner, and at such timing and frequency, as the Secretary may prescribe until the end of the Secretary’s Public Health Emergency declaration with respect to COVID–19 or any extension of such declaration.” As provided for by HHS guidance, laboratory entities are required to report certain data for all testing completed, for each individual tested, within 24 hours of results being known or determined, on a daily basis to the appropriate state or local public health department based on the individual’s residence. To the extent permitted by law, this information may be collected, and subsequently shared with state and local public health officials, as a result of DHS contracting with laboratories to analyze tests to determine whether a DHS employee, long-term trainee, mission support individual, or contractor had contracted the disease or illness. This additional change to include testing reporting requirements is reflected in the updated purpose section of this SORN.

DHS is adding Routine Use I, permitting the sharing of information to the news media and the public, with the approval of the Chief Privacy Officer in consultation with counsel. Instances of this disclosure may occur if high-ranking DHS personnel are impacted and disclosure of their status is important to uphold public confidence in DHS.
Consistent with DHS’s information sharing mission, information stored in the
DHS/ALL-047 Records Related to DHS Personnel, Long-Term Trainees, Contractors,
Mission Support Individuals, and Visitors During a Declared Public Health Emergency
System of Records may be shared with other DHS Components that have a need to know
the information to carry out their mission essential functions, but only if it is first
determined that the information may be shared under all other applicable laws and DHS
policies.

In addition, to the extent permitted by law, DHS may share information with
appropriate federal, state, local, tribal, territorial, foreign, or international government
agencies consistent with the routine uses set forth in this SORN.

This modified system will be included in DHS’s inventory of record systems.
II. Privacy Act

The Privacy Act embodies fair information practice principles in a statutory
framework governing the means by which federal government agencies collect, maintain,
use, and disseminate individuals’ records. The Privacy Act applies to information that is
maintained in a “system of records.” A “system of records” is a group of any records
under the control of an agency from which information is retrieved by the name of an
individual or by some identifying number, symbol, or other identifying particular
assigned to the individual. In the Privacy Act, an individual is defined to encompass U.S.
citizens and lawful permanent residents. Additionally, the Judicial Redress Act (JRA)
provides covered persons with a statutory right to make requests for access and
amendment to covered records, as defined by the JRA, along with judicial review for
denials of such requests. In addition, the JRA prohibits disclosures of covered records,
except as otherwise permitted by the Privacy Act.
Below is the description of the DHS/ALL-047 Records Related to DHS Personnel, Long-Term Trainees, Contractors, Mission Support Individuals, and Visitors During a Declared Public Health Emergency System of Records.

In accordance with 5 U.S.C. sec. 552a(r), DHS has provided a report of this system of records to the Office of Management and Budget and to Congress.


**SECURITY CLASSIFICATION:** Unclassified.

**SYSTEM LOCATION:** Records are maintained at the DHS Headquarters and Component offices in Washington, D.C. and field offices, and contractor-owned and operated facilities.

**SYSTEM MANAGER(S):** Chief, Medical Quality & Risk Reduction Branch, Workforce Health and Safety, Office of the Chief Human Capital Officer, U.S. Department of Homeland Security, OCHCOPrivacyOfficer@hq.dhs.gov.

PURPOSE(S) OF THE SYSTEM: The purpose of this system is to maintain records to protect the Department’s workforce and respond to a declared public health emergency. For instance, DHS may use the information collected to conduct contact tracing (i.e., the subsequent identification, monitoring, and support of a confirmed or probable case’s close contacts who have been exposed to, and possibly infected with, the disease or illness at or on buildings, grounds, and properties that are owned, leased, or used by DHS); institute preventative testing to permit entry to buildings, grounds, and properties that are owned, leased, or used by DHS to minimize exposure; and fulfill testing reporting requirements, to the extent permitted by law.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM: Department personnel (including employees, detailees, interns, and volunteers), long-term trainees (such as Federal Law Enforcement Training Centers (FLETC) students), contractors, mission support individuals, and visitors (all other federal employees, applicants, and members of the public) at or on buildings, grounds, and properties that are owned, leased, or used by DHS who are suspected or confirmed to have a disease or illness that is the subject of a declared public health emergency, or may have been or could have been exposed to someone who is suspected or confirmed to have a disease or illness that is the subject of a declared public health emergency, or who must undergo preventative testing for a disease or illness that is the subject of a declared public health emergency as a requirement of federal, state, or local public health orders.
CATEGORIES OF RECORDS IN THE SYSTEM:

*For DHS personnel, long-term trainees, contractors, and mission support individuals, the following information may be collected:*

- Individual’s full name;
- Preferred phone number(s);
- DHS duty location, facility, and specific work space accessed;
- Preferred email address(es);
- Individual’s supervisor’s name, address, and contact information, and/or the contractor’s supervisor/contracting officer representative name, address, and contact information;
- Date(s) and circumstances of the individual’s suspected or actual exposure to disease or illness including symptoms, as well as locations within DHS workplace where an individual may have contracted or been exposed to the disease or illness; and names and contact information of other employees, long-term trainees, contractors, mission support individuals, or visitors that the individual interacted with at or on a DHS workspace, facility, or grounds during time the individual was suspected to or had contracted the disease or illness;
- Current work status of the individual (e.g., administrative leave, sick leave, teleworking, in the office, deployed to the field) and affiliated leave status information;
- Other individual information directly related to the disease or illness (e.g., testing results/information, symptoms, treatments (e.g., vaccines), source of exposure);
- Other information for verification purposes when disclosed to third-parties; and
- Information collected in accordance with CARES Act reporting requirements or other HHS statutory, regulatory, and administrative reporting requirements.

*For visitors at or on buildings, grounds, and properties that are owned, leased, or used by DHS, the following information may be collected:*
• Full name;
• Preferred phone number(s);
• Preferred email address(es);
• Date(s) and time(s) of entrance and exit from DHS workspaces, facilities, and grounds;
• Name(s) of all individuals encountered while in or at DHS workspaces, facilities, and grounds.
• Information indicating plans on entering a DHS workspace, facility, or grounds in the near future; and
• Other records covered by DHS/ALL-024 Facility and Perimeter Access Control and Visitor Management System of Records (75 FR 5609, February 3, 2010) that are relevant and necessary to achieve the purpose of this SORN.

**RECORD SOURCE CATEGORIES:** When permitted by applicable law, records may be obtained from DHS personnel, long-term trainees, contractors, mission support individuals, and visitors at or on buildings, grounds, and properties that are owned, leased, or used by DHS; their family members; federal, state, local, tribal, territorial, and foreign government agencies; employers and other entities and individuals who may provide relevant information on a suspected or confirmed disease or illness that is the subject of a declared public health emergency.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND PURPOSES OF SUCH USES:** In addition to those disclosures generally permitted under 5 U.S.C. sec. 552a(b) of the Privacy Act, all or a portion of the records or information contained in this system may be disclosed outside DHS as a routine use pursuant to 5 U.S.C. sec. 552a(b)(3) as follows, to the extent permitted by other applicable laws as described herein:
A. To the Department of Justice (DOJ), including the U.S. Attorneys Offices, or other federal agency conducting litigation or proceedings before any court, adjudicative, or administrative body, when it is relevant or necessary to the litigation and one of the following is a party to the litigation or has an interest in such litigation:

1. DHS or any component thereof;
2. Any employee or former employee of DHS in his/her official capacity;
3. Any employee or former employee of DHS in his/her individual capacity, only when DOJ or DHS has agreed to represent the employee; or
4. The United States or any agency thereof.

B. To a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of the individual to whom the record pertains.

C. To the National Archives and Records Administration (NARA) or General Services Administration pursuant to records management inspections being conducted under the authority of 44 U.S.C. sec. 2904 and 2906.

D. To an agency or organization for the purpose of performing audit or oversight operations as authorized by law, but only such information as is necessary and relevant to such audit or oversight function.

E. To appropriate agencies, entities, and persons when (1) DHS suspects or has confirmed that there has been a breach of the system of records; (2) DHS has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, DHS (including its information systems, programs, and operations), the federal government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with DHS’s efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm.
F. To another federal agency or federal entity, when DHS determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the federal government, or national security, resulting from a suspected or confirmed breach.

G. To contractors and their agents, grantees, experts, consultants, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for DHS, when necessary to accomplish an agency function related to this system of records. Individuals provided information under this routine use are subject to the same Privacy Act requirements and limitations on disclosure as are applicable to DHS officers and employees.

H. To appropriate federal, state, local, tribal, or foreign governmental agencies or multilateral governmental organizations, to the extent permitted by law, and in consultation with DHS legal counsel, for the purpose of protecting the vital interests of a data subject or other persons, including to assist such agencies or organizations in preventing exposure to or transmission of a communicable or quarantinable disease or to combat other significant public health threats; appropriate notice will be provided of any identified health risk.

I. To the news media and the public, with the approval of the Chief Privacy Officer in consultation with counsel, when there exists a legitimate public interest in the disclosure of the information, when disclosure is necessary to preserve confidence in the integrity of DHS, or when disclosure is necessary to demonstrate the accountability of DHS's officers, employees, or individuals covered by the system, except to the extent the Chief Privacy Officer determines that release of the specific information in the context of a particular case would constitute a clearly unwarranted invasion of personal privacy.
POLICIES AND PRACTICES FOR STORAGE OF RECORDS: DHS stores records in this system electronically or on paper in secure facilities in a locked drawer behind a locked door. The records may be stored on magnetic disc, tape, and digital media. Medical information collected is maintained on separate forms and in separate medical files and are treated as a confidential medical record.

POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS: DHS may retrieve records by any of the categories of records, including name, location, testing ID number, date of exposure, or work status.

POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS: DHS is in the process of developing a records schedule for declared public health emergency records. However, to the extent applicable, to ensure compliance with Americans with Disabilities Act (ADA), the Rehabilitation Act, and the Genetic Information Nondiscrimination Act of 2008 (GINA), medical information must be “maintained on separate forms and in separate medical files and be treated as a confidential medical record.” 42 U.S.C. sec. 12112(d)(3)(B); 42 U.S.C. sec 2000ff-5(a); 29 CFR 1630.14(b)(1), (c)(1), (d)(4)(i); and 29 CFR 1635.9(a). This means that medical information and documents must be stored separately from other personnel records. As such, the Department must keep medical records for at least one year from creation date. 29 CFR 1602.14. Further, any records compiled under this SORN and incorporated into an occupational individual medical case record pursuant to the OSH Act must be maintained in accordance with 5 CFR Part 293.511(b) and 29 CFR 1910.1020(d), and must be destroyed 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer, in accordance with NARA General Records Schedule (GRS) 2.7, Item 60, and NARA records retention schedule DAA-GRS-2017-0010-0009, to the extent applicable. Visitor processing records are covered by GRS 5.6, Items 110 and 111, and must be destroyed when either two or five years old,
depending on security level, but may be retained longer if required for business use, pursuant to DAA-GRS-2017-0006-0014 and -0015.

ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS: DHS safeguards records in this system according to applicable rules and policies, including all applicable DHS automated systems security and access policies. DHS has imposed strict controls to minimize the risk of compromising the information that is being stored. Access to the computer system containing the records in this system is limited to those individuals who have a need to know the information for the performance of their official duties and who have appropriate clearances or permissions.

RECORD ACCESS PROCEDURES: Individuals seeking access to and notification of any record contained in this system of records, or seeking to contest its content, may submit a request in writing to the Chief Privacy Officer or the appropriate Headquarters or component’s FOIA Officer whose contact information can be found at http://www.dhs.gov/foia under “Contact Information.” If an individual believes more than one component maintains Privacy Act records concerning him or her, the individual may submit the request to the Chief Privacy Officer and Chief Freedom of Information Act Officer, U.S. Department of Homeland Security, Washington, D.C. 20528-0655. Even if neither the Privacy Act nor the Judicial Redress Act provide a right of access, certain records about you may be available under the Freedom of Information Act.

When an individual is seeking records about himself or herself from this system of records or any other Departmental system of records, the individual’s request must conform with the Privacy Act regulations set forth in 6 CFR Part 5. The individual must first verify his/her identity, meaning that the individual must provide his/her full name, current address, and date and place of birth. The individual must sign the request, and the individual’s signature must either be notarized or submitted under 28 U.S.C. sec. 1746, a law that permits statements to be made under penalty of perjury as a substitute for
notarization. While no specific form is required, an individual may obtain forms for this purpose from the Chief Privacy Officer and Chief Freedom of Information Act Officer, http://www.dhs.gov/foia or 1-866-431-0486. In addition, the individual should:

- Explain why he or she believes the Department would have information being requested;
- Identify which component(s) of the Department he or she believes may have the information;
- Specify when the individual believes the records would have been created; and
- Provide any other information that will help the FOIA staff determine which DHS component agency may have responsive records;

If the request is seeking records pertaining to another living individual, the request must include an authorization from the individual whose record is being requested, authorizing the release to the requester.

Without the above information, the component(s) may not be able to conduct an effective search, and the individual’s request may be denied due to lack of specificity or lack of compliance with applicable regulations.

**CONTESTING RECORD PROCEDURES:** For records covered by the Privacy Act individuals may make a request for amendment or correction of a record of the Department about the individual by writing directly to the Department component that maintains the record, unless the record is not subject to amendment or correction. The request should identify each particular record in question, state the amendment or correction desired, and state why the individual believes that the record is not accurate, relevant, timely, or complete. The individual may submit any documentation that would be helpful. If the individual believes that the same record is in more than one system of records, the request should state that and be addressed to each component that maintains a system of records containing the record.
NOTIFICATION PROCEDURES: See “Record Access Procedures” above.

EXEMPTIONS PROMULGATED FOR THE SYSTEM: None.


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Constantina Kozanas,

Chief Privacy Officer,


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