



**U.S. Department of Transportation**  
**Privacy Impact Assessment**  
**Federal Aviation Administration (FAA)**

**Accident Incident Enforcement (AIE)**

**Responsible Official**

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## Executive Summary

Under the authority of the Privacy Act (5 U.S.C. § 552a), an individual United States citizen or legal permanent resident may request access to records that are retrieved by their name or other identifier. The Freedom of Information Act gives individuals the right access to information unless that information is protected from public disclosure. The Federal Aviation Administration Accident Incident Enforcement (AIE) system is a major application that includes an External Privacy Act (PA) and Freedom of Information (FOIA) web tools that are used to fulfill PA and FOIA requests for information about airmen. AIE automatically processes requests for and release of limited information about airmen that are received from airmen seeking their own or other airmen records; air carriers or air operators; third-party representatives (e.g., law firms); and members of the public. Specifically, the system locates and retrieves information from several other FAA data systems and provides only releasable information to the requester.

The FAA is publishing this Privacy Impact Assessment for AIE in accordance with Section 208 of the E-Government Act of 2002 because AIE collects and maintains information about airman, air carriers or air operators, third-party representative or members of the public to process PA or FOIA request for information about airman.

## What is a Privacy Impact Assessment?

*The Privacy Act of 1974 articulates concepts for how the federal government should treat individuals and their information and imposes duties upon federal agencies regarding the collection, use, dissemination, and maintenance of personally identifiable information (PII). The E-Government Act of 2002, Section 208, establishes the requirement for agencies to conduct privacy impact assessments (PIAs) for electronic information systems and collections. The assessment is a practical method for evaluating privacy in information systems and collections, and documented assurance that privacy issues have been identified and adequately addressed. The PIA is an analysis of how information is handled to—i) ensure handling conforms to applicable legal, regulatory, and policy requirements regarding privacy; ii) determine the risks and effects of collecting, maintaining and disseminating information in identifiable form in an electronic information system; and iii) examine and evaluate protections and alternative processes for handling information to mitigate potential privacy risks.<sup>1</sup>*

*Conducting a PIA ensures compliance with laws and regulations governing privacy and demonstrates the DOT's commitment to protect the privacy of any personal information we*

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<sup>1</sup>Office of Management and Budget's (OMB) definition of the PIA taken from guidance on implementing the privacy provisions of the E-Government Act of 2002 (see OMB memo of M-03-22 dated September 26, 2003).



*collect, store, retrieve, use and share. It is a comprehensive analysis of how the DOT's electronic information systems and collections handle personally identifiable information (PII). The goals accomplished in completing a PIA include:*

- *Making informed policy and system design or procurement decisions. These decisions must be based on an understanding of privacy risk, and of options available for mitigating that risk;*
- *Accountability for privacy issues;*
- *Analyzing both technical and legal compliance with applicable privacy law and regulations, as well as accepted privacy policy; and*
- *Providing documentation on the flow of personal information and information requirements within DOT systems.*

*Upon reviewing the PIA, you should have a broad understanding of the risks and potential effects associated with the Department activities, processes, and systems described and approaches taken to mitigate any potential privacy risks.*

## **Introduction & System Overview**

AIE is a web-based query tool that is used by the Aviation Data Systems Branch (AFS-620) personnel to fulfill PA and FOIA requests for information about airmen. The purpose of AIE is to provide the following:

- Automatically process requests received from airmen seeking their own or other airmen records; air carriers or air operators; third-party representatives (e.g., law firms); and members of the public for and release
- Automatically generate and issue response letters to the requesters that provide the information requested; and
- Provide FAA the ability to review and monitor these requests and associated response letters from FAA side.

### ***Privacy Act (PA) External***

An individual submits a PA request for accidents, incidents, and enforcement electronically at <https://aie-pa.faa.gov>. To submit a first party request, the requester completes an electronic form and enters their name, email address, date of birth (DOB), and/or certificate number. If the requestor is submitting a request on behalf of a third party, the requester will also need to provide the company name (if available), airman's name, and date of birth or certificate number. The information collected is used by AIE to locate the correct information. The requestor also chooses from a dropdown to denote that they are an employer, foreign civil aviation authority, or "other" to identify the purpose for their request and to determine whether a routine use permits release of information to them. Requesters also must sign a statement under penalty of perjury attesting that they are who they say they are. After submittal, a reference number is displayed as receipt of confirmation.



### ***Freedom of Information Act (FOIA)***

An individual submits a FOIA request for accidents, incidents, and enforcement information at <https://aic-foia.faa.gov>. To submit a first party request, the requester completes an electronic form and enters their name, email address, date of birth (DOB), and/or certificate number. If the requestor is submitting a request on behalf of a third party, the requester will also need to provide the company name (if available), airman's name, and date of birth or certificate number. Once the information is entered a reference number as a confirmation is generated and provided to the submitter by mail.

In addition to submitting request online, external users can submit PA/FOIA requests by mail. In doing so the individuals will provide the same information provided for online request.

### ***Response Letter***

In responding to the PA and FOIA request, AIE receives information from the following FAA systems to generate a response letter.

- Comprehensive Airman Information System (CAIS)<sup>2</sup> provides AIE the airman's name, DOB, airman certificate number (which may be SSN), type certifications, certification dates, ratings, and limited medical information such as medical class or medical limitation that originated from the Medical Support System.
- Enforcement Information System (EIS)<sup>3</sup> provides AIE airman's name, DOB, airmen certificate number, type of action or enforcement, and final action date of an enforcement action.
- Accident Incident Data System (AIDS)<sup>4</sup> provides AIE the airman's name, DOB, airmen certificate number, and date of accident or incident.

The response letter contains the requester's name, certificate number and relevant information authorized to be disclosed as part of The Privacy Act, 5 U.S.C. § 552a and The Freedom of Information Act, 5 U.S.C. § 552. AIE limits the information requesters may request to only specific data. For example, information pertaining to open investigations is expressly not available through AIE. To obtain that information, requesters would need to file a typical FOIA request through FAA's normal FOIA processes. SSNs are likewise expressly not available, so are not provided as part of the responsive information.

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<sup>2</sup> CAIS is a subsystem of the Civil Aviation Registry Applications (AVS Registry). For more information about this system, please review the PIA for this system available at <https://www.transportation.gov/individuals/privacy/privacy-impact-assessment-airmen-certification-system>.

<sup>3</sup> For more information about this system, please review the PIA for this system available at <https://www.transportation.gov/individuals/privacy/enforcement-information-system-eis-eis-query-and-browse-database-eisqb-0>.

<sup>4</sup> For more information about this system, please review the PIA for this system available at <https://www.transportation.gov/individuals/privacy/accident-and-incident-data-system-aids-2>.



Once AIE generates the response letter, AIE stamps the relevant signature onto the response letter. AIE sends a notification email to the requestor in response to the PA and FOIA requests that includes an encrypted electronic PDF of the response letter.

## Fair Information Practice Principles (FIPPs) Analysis

*The DOT PIA template is based on the fair information practice principles (FIPPs). The FIPPs, rooted in the tenets of the Privacy Act, are mirrored in the laws of many U.S. states, as well as many foreign nations and international organizations. The FIPPs provide a framework that will support DOT efforts to appropriately identify and mitigate privacy risk. The FIPPs-based analysis conducted by DOT is predicated on the privacy control families articulated in the Federal Enterprise Architecture Security and Privacy Profile (FEA-SPP) v3<sup>5</sup>, sponsored by the National Institute of Standards and Technology (NIST), the Office of Management and Budget (OMB), and the Federal Chief Information Officers Council and the Privacy Controls articulated in Appendix J of the NIST Special Publication 800-53 Security and Privacy Controls for Federal Information Systems and Organizations<sup>6</sup>.*

## Transparency

*Sections 522a(e)(3) and (e)(4) of the Privacy Act and Section 208 of the E-Government Act require public notice of an organization's information practices and the privacy impact of government programs and activities. Accordingly, DOT is open and transparent about policies, procedures, and technologies that directly affect individuals and/or their personally identifiable information (PII). Additionally, the Department should not maintain any system of records the existence of which is not known to the public.*

AIE collects the name, email address, DOB, and/or certificate number from the requester. If the requestor is submitting a request on behalf of a third party, the requester also provides the company name (if available), airman's name and DOB or certificate number. The FAA deploys multiple techniques to ensure that individuals are informed of the purpose for which the FAA collects, uses, disseminates, and retains the information in AIE. A Privacy Act Statement discussing the Department's privacy practices regarding the collection, use, sharing, safeguarding, maintenance, and disposal of information is presented to the requester prior to the collecting information.

The Department of Transportation (DOT) has published Privacy Act System of Records Notice (SORN) [DOT/ALL 17 – Freedom of Information Act and Privacy Act Case Files - 84 FR 4605 - February 15, 2019](#) that provides notice to the public of its privacy practices

<sup>5</sup> <http://www.cio.gov/documents/FEA-Security-Privacy-Profile-v3-09-30-2010.pdf>

<sup>6</sup> [http://csrc.nist.gov/publications/drafts/800-53-Appendix-J/IPDraft\\_800-53-privacy-appendix-J.pdf](http://csrc.nist.gov/publications/drafts/800-53-Appendix-J/IPDraft_800-53-privacy-appendix-J.pdf)



regarding the collection, use, sharing, safeguarding, maintenance, and disposal of information about an individual that may be collected. In responding to PA and FOIA requests, CAIS, EIS and AIDS provides information and notice is provided at that point of collect and applicable SORNs.

The publication of this PIA further demonstrates DOT's commitment to provide appropriate transparency.

### **Individual Participation and Redress**

*DOT provides a reasonable opportunity and capability for individuals to make informed decisions about the collection, use, and disclosure of their PII. As required by the Privacy Act, individuals should be active participants in the decision-making process regarding the collection and use of their PII and they are provided reasonable access to their PII and the opportunity to have their PII corrected, amended, or deleted, as appropriate.*

AIE collects the PA and FOIA request information directly from the individual and must enter the information correctly for there to be an exact match to the records they are requesting. If information is not accurately entered, the requester will receive a letter informing them and can then submit a new request.

In responding to PA and FOIA requests, CAIS, EIS and AIDS provides the data through the AVS Replication Servers and individuals would have to follow the procedures of the source systems to correct or amend records. AFS- 620 conducts manual audits of approximately ten percent of the PA and FOIA request letters issued to ensure that EIS continues to function as required and continues to provide only releasable information to the correct requesters.

Under the provisions of the Privacy Act, individuals may request searches of AIE and the other source systems to determine if any records may pertain to them. Individuals wanting information about themselves that may be contained in this system, should make their requests in writing, detailing the reasons for why the records should be corrected, to the following address:

Federal Aviation Administration  
Privacy Office  
800 Independence Ave. SW  
Washington DC, 20591

Included in the request must be the following:

- Name,
- Mailing address,
- Phone number or email address,
- A description of the records sought, and if possible, the location of the records.





Contesting record procedures: Individuals wanting to contest information about themselves that is contained in this system should make their requests in writing, detailing the reasons for why the records should be corrected to the following address:

Federal Aviation Administration  
Privacy Office  
800 Independence Ave. SW  
Washington DC, 20591

Additional information about the Department's privacy program may be found at [www.transportation.gov/privacy](http://www.transportation.gov/privacy). Individuals may also contact the DOT Chief Privacy Officer at [privacy@dot.gov](mailto:privacy@dot.gov).

### Purpose Specification

*DOT should (i) identify the legal bases that authorize a particular PII collection, activity, or technology that impacts privacy; and (ii) specify the purpose(s) for which it collects, uses, maintains, or disseminates PII.*

Under the authority of the Privacy Act (5 U.S.C. § 552a), an individual United States citizen or legal permanent resident may request access to records that are retrieved by their name or other identifier. The Freedom of Information Act gives individuals the right access to information unless that information is protected from public disclosure.

The requester provides their name, email address, DOB, and/or certificate number when requesting information about themselves. If the requestor is submitting a request on behalf of a third party, the requester will also need to provide the company name (if available), airman's name, and DOB or certificate number. AIE generates a reference number as receipt of confirmation. This information is used to respond to PA and FOIA request which is the purpose for which it was collected.

AIE receives the following information from the AVS Replication Server to process and respond to PA and FOIA requests:

- CAIS provides AIE the airman's name, DOB, airman certificate number, type certifications, certification dates, ratings, and limited medical information that originated from the MSS. Limited data is disclosed through the portal.
- EIS provides airman's name, DOB, airmen certificate number, type of action or enforcement, and final action date of an enforcement action.
- AIDS verifies whether or not a particular airman was involved in an accident or incident and provides the airman's name, DOB, airmen certificate number, and date of accident or incident.



AIE provides Tableau<sup>7</sup> the number of PA and FOIA requests received per day/month/ year, number of airmen per request, and name of companies submitting the request to provide the organization performance and trends in requests.

AIE does not exchange data with any external systems.

### **Data Minimization & Retention**

*DOT should collect, use, and retain only PII that is relevant and necessary for the specified purpose for which it was originally collected.*

AIE collects the minimum amount of PII necessary to respond to PA and FOIA request. AIE maintains records in accordance with National Archives and Records Administration, [General Records Schedule 4.2, Items 020 Information Access and Protection Records](#). Records are destroyed six years after final agency action or three years after final adjudication by the courts, whichever is later, but longer retention is authorized System Access records are maintain in accordance with GRS 3.2 [Information Systems Security Records](#), Item 30 and are destroyed when business need ceases.

### **Use Limitation**

*DOT shall limit the scope of its PII use to ensure that the Department does not use PII in any manner that is not specified in notices, incompatible with the specified purposes for which the information was collected, or for any purpose not otherwise permitted by law.*

The sharing of information is done so in accordance with Department SORN DOT/ALL 17 – Freedom of Information Act and Privacy Act Case Files - 84 FR 4605 - February 15, 2019. In addition to other disclosures generally permitted under 5 U.S.C. § 552a(b) of the Privacy Act, all or a portion of the records or information contained in this system may be disclosed outside DOT as a routine use pursuant to 5 U.S.C. § 552a(b)(3) as follows:

1. To another Federal agency (a) with an interest in the record in connection with a referral of a FOIA request to that agency for its views or decisions on disclosure or (b) in order to obtain advice and recommendations concerning matters on which the agency has specialized experience or particular competence that may be useful to DOT in making required determinations under the FOIA.
2. To a Federal, State, territorial, tribal, local, international, or foreign agency or entity for the purpose of consulting with that agency or entity; a. To assist in making a determination regarding access to or amendment of information, or b. For the purpose of verifying the

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<sup>7</sup> See PIA for Tableau located at <https://www.transportation.gov/individuals/privacy/tableau>





identity of an individual or the accuracy of information submitted by an individual who has requested access or amendment of records maintained in other DOT Privacy Act system of records.

3. To members of the public to facilitate understanding of DOT FOIA processes. Such release will be limited to “FOIA logs” and may include the request number, date of receipt, name of individual or organization making the request, a description of the information sought, response date, and the type of response.

4. To submitters of records for purposes of determining the applicability of FOIA exemptions, such as Exemption 4, to the records. Such release will be limited to initial request letters.

5. To the Office of Government Information Services (OGIS) for the purpose of resolving disputes between requesters seeking information under the Freedom of Information Act (FOIA) and DOT, or OGIS’ review of DOT’s policies, procedures, and compliance with FOIA.

The Department has also published 15 additional routine uses applicable to all DOT Privacy Act systems of records available at <http://www.transportation.gov/privacy/privacyactnotices>.

## Data Quality and Integrity

*In accordance with Section 552a(e)(2) of the Privacy Act of 1974, DOT should ensure that any PII collected and maintained by the organization is accurate, relevant, timely, and complete for the purpose for which it is to be used, as specified in the Department’s public notice(s).*

Accuracy of information is ensured through managerial review of the data. Data is also updated utilizing automated process with other internal FAA systems detailed in the Purpose Specification of this document.

## Security

*DOT shall implement administrative, technical, and physical measures to protect PII collected or maintained by the Department against loss, unauthorized access, or disclosure, as required by the Privacy Act, and to ensure that organizational planning and responses to privacy incidents comply with OMB policies and guidance.*

The FAA protects PII by reasonable security safeguards against loss or unauthorized access, destruction, usage, modification, or disclosure. These safeguards incorporate standards and practices required for Federal Information Systems under the Federal Information System Management Act (FISMA) and are detailed in Federal Information Processing Standards (FIPS) Publication 200, Minimum Security Requirements for Federal Information and



Information Systems, dated March 2006, and National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53 Revision 5, Security and Privacy Controls for Information Systems and Organizations, dated September 2020.

### **Accountability and Auditing**

*DOT shall implement effective governance controls, monitoring controls, risk management, and assessment controls to demonstrate that the Department is complying with all applicable privacy protection requirements and minimizing the privacy risk to individuals.*

FAA Order 1370.121B, FAA Information Security and Privacy Program & Policy, implements the various privacy requirements of the Privacy Act of 1974 (the Privacy Act), the E-Government Act of 2002 (Public Law 107-347), DOT privacy regulations, Office of Management and Budget (OMB) mandates, and other applicable DOT and FAA information and information technology management procedures and guidance. In addition to these practices, the FAA will implement additional policies and procedures as they relate to the access, protection, retention, and destruction of PII. Federal employees and contractors who work with AIE are given clear guidance about their duties as related to collecting, using, and processing privacy data. Guidance is provided in mandatory annual security and privacy training awareness training, as well as FAA Order 1370.121B. The FAA will conduct periodic privacy compliance reviews of AIE as related to the requirements of OMB Circular A-130, Managing Information as a Strategic Resource.

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### **Approval and Signature**

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