PRIVACY IMPACT ASSESSMENT (PIA)

For the

Electronic Management System (EMS)

Missile Defense Agency (MDA)

SECTION 1: IS A PIA REQUIRED?

a. Will this Department of Defense (DoD) information system or electronic collection of information (referred to as an "electronic collection" for the purpose of this form) collect, maintain, use, and/or disseminate PII about members of the public, Federal personnel, contractors or foreign nationals employed at U.S. military facilities internationally? Choose one option from the choices below. (Choose (3) for foreign nationals).

☐ (1) Yes, from members of the general public.

☒ (2) Yes, from Federal personnel* and/or Federal contractors.

☐ (3) Yes, from both members of the general public and Federal personnel and/or Federal contractors.

☐ (4) No

* "Federal personnel" are referred to in the DoD IT Portfolio Repository (DITPR) as "Federal employees."

b. If "No," ensure that DITPR or the authoritative database that updates DITPR is annotated for the reason(s) why a PIA is not required. If the DoD information system or electronic collection is not in DITPR, ensure that the reason(s) are recorded in appropriate documentation.

c. If "Yes," then a PIA is required. Proceed to Section 2.

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09-MDA-5033 (05 NOV 09)

SECTION 2: PIA SUMMARY INFORMATION

a. Why is this PIA being created or updated? Choose one:

- ☐ **New DoD Information System**
- ☐ **New Electronic Collection**
- ☒ **Existing DoD Information System**
- ☐ **Existing Electronic Collection**
- ☐ **Significantly Modified DoD Information System**

b. Is this DoD information system registered in the DITPR or the DoD Secret Internet Protocol Router Network (SIPRNET) IT Registry?

- ☒ **Yes, DITPR** Enter DITPR System Identification Number: parent is USCENTRALULAN (ID 4218)
- ☐ **Yes, SIPRNET** Enter SIPRNET Identification Number:
- ☐ **No**

c. Does this DoD information system have an IT investment Unique Project Identifier (UPI), required by section 53 of Office of Management and Budget (OMB) Circular A-11?

- ☒ **Yes**
- ☐ **No**

If "Yes," enter UPI parent is USCENTRALLAN (UPI 007-97-02-44-02-6914-00)

If unsure, consult the Component IT Budget Point of Contact to obtain the UPI.

d. Does this DoD information system or electronic collection require a Privacy Act System of Records Notice (SORN)?

A Privacy Act SORN is required if the information system or electronic collection contains information about U.S. citizens or lawful permanent U.S. residents that is retrieved by name or other unique identifier. PIA and Privacy Act SORN information should be consistent.

- ☐ **Yes**
- ☒ **No**

If "Yes," enter Privacy Act SORN Identifier

DoD Component-assigned designator, not the Federal Register number.
Consult the Component Privacy Office for additional information or
access DoD Privacy Act SORNs at: http://www.defenselink.mil/privacy/notices/

or

Date of submission for approval to Defense Privacy Office
Consult the Component Privacy Office for this date.

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09-MDA-5033 (05 NOV 09)

e. Does this DoD information system or electronic collection have an OMB Control Number?
Contact the Component Information Management Control Officer or DoD Clearance Officer for this information.

This number indicates OMB approval to collect data from 10 or more members of the public in a 12-month period regardless of form or format.

☐ **Yes**

Enter OMB Control Number

Enter Expiration Date

☒ **No**

f. Authority to collect information. A Federal law, Executive Order of the President (EO), or DoD requirement must authorize the collection and maintenance of a system of records.

(1) If this system has a Privacy Act SORN, the authorities in this PIA and the existing Privacy Act SORN should be the same.

(2) Cite the authority for this DoD information system or electronic collection to collect, use, maintain and/or disseminate PII. (If multiple authorities are cited, provide all that apply.)

(a) Whenever possible, cite the specific provisions of the statute and/or EO that authorizes the operation of the system and the collection of PII.

(b) If a specific statute or EO does not exist, determine if an indirect statutory authority can be cited. An indirect authority may be cited if the authority requires the operation or administration of a program, the execution of which will require the collection and maintenance of a system of records.

(c) DoD Components can use their general statutory grants of authority ("internal housekeeping") as the primary authority. The requirement, directive, or instruction implementing the statute within the DoD Component should be identified.

The Federal Records Act, as amended and codified in Title 44 U.S.C. 3101 and 3102
E-Government Act of 2002 P.L. 107-347
Title 36, Code of Federal Regulations, Chapter XII
Government Performance and Results Act (GPRA)
Clinger-Cohen Act
Government Paperwork Elimination Act (GPEA)
Critical Infrastructure Assurance, Presidential Decision Directive 63 (PDD-63) "Critical Infrastructure Protection
Electronic Freedom of Information Act Amendments [EFOIA] (5 U.S.C. 552a (d))
Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520)
OMB Circular A-130: Management of Federal Information Resources
DoD Directive 5015.2, DoD Records Management Program
DoD Standard 5015.2, Design Criteria Standard for Electronic Records Management Software Applications
DoD Directive 5134.9, "Missile Defense Agency (MDA)", 9 October 2004
MDA Directive 8180.01, "Enterprise Records Management", 16 May 2005
MDA Directive 8000.01, "Information Management", 13 January 2009

Approved for Public Release
09-MDA-5033 (05 NOV 09)

g. Summary of DoD information system or electronic collection. Answers to these questions should be consistent with security guidelines for release of information to the public.

(1) Describe the purpose of this DoD information system or electronic collection and briefly describe the types of personal information about individuals collected in the system.

EMS is a Records Management Repository system that is in compliance with DoD Standard 5015.2 and the National Archives and Records Administration (NARA). The repository is known to contain PII information as entered by the contributor.

(2) Briefly describe the privacy risks associated with the PII collected and how these risks are addressed to safeguard privacy.

RISK: PII information might be obtained by unauthorized users through improperly secured access to the information within the system.

MITIGATION: MDA Personnel sign a non-disclosure agreement. All MDA personnel require a Common Access Card (CAC) to enable authentication to access the computer. Each user of EMS must have an account in the Active Directory of MDA. Access to documents/records containing privacy information are restricted by the contributor and proper restrictions must be applied to prevent risk to PII. Therefore, additional mitigation is provided through training on how to properly apply security to protect PII and other sensitive information.

h. With whom will the PII be shared through data exchange, both within your DoD Component and outside your Component (e.g., other DoD Components, Federal Agencies)? Indicate all that apply.

☒ **Within the DoD Component.**

Specify. PII may only be shared within the limits of the security restrictions set by the contributor. The contributor understands what information requires protection.

☐ **Other DoD Components.**

Specify.

☐ **Other Federal Agencies.**

Specify.

☐ **State and Local Agencies.**

Specify.

☐ **Contractor** (Enter name and describe the language in the contract that safeguards PII.)

Specify.

☐ **Other** (e.g., commercial providers, colleges).

Specify.

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09-MDA-5033 (05 NOV 09)

i. Do individuals have the opportunity to object to the collection of their PII?

☐ **Yes** ☒ **No**

(1) If "Yes," describe method by which individuals can object to the collection of PII.

(2) If "No," state the reason why individuals cannot object.

EMS is the central repository for MDA electronic records, as well as a reference placeholder for media that is not electronic i.e., paper, CDs, DVDs that are stored in filing cabinets or other equipment. Once the individual provides the PII on the record and that record's information serves its intended purpose, EMS provides storage and protection for that record.

j. Do individuals have the opportunity to consent to the specific uses of their PII?

☐ **Yes** ☒ **No**

(1) If "Yes," describe the method by which individuals can give or withhold their consent.

(2) If "No," state the reason why individuals cannot give or withhold their consent.

EMS is MDA's central repository system for documents and records. Records are kept in accordance with MDA's Records Disposition Schedule (RDS). Consent or denial for use of PII involved in this system is obtained in the initial creation of the record, not in the storage stage of the record life-cycle.

k. What information is provided to an individual when asked to provide PII data? Indicate all that apply.

☐	**Privacy Act Statement**	☐	**Privacy Advisory**
☐	**Other**	☒	**None**

Describe each applicable format.	PII is captured in forms/documents/records and scanned/uploaded into EMS by MDA DOH (Human Resource) personnel and other business administrators. EMS is MDA's recordkeeping system-Enterprise wide application. The information that is collected is at time of hire until employee retires/ resigns, and, accordingly, that information is dispositioned using the MDA Records Disposition Schedule. Request for providing, and the associated consent or denial for use of, PII involved in this system is obtained in the initial creation of the record, not in the storage stage of the record life-cycle.

NOTE:

Sections 1 and 2 above are to be posted to the Component's Web site. Posting of these Sections indicates that the PIA has been reviewed to ensure that appropriate safeguards are in place to protect privacy.

A Component may restrict the publication of Sections 1 and/or 2 if they contain information that would reveal sensitive information or raise security concerns.

SECTION 4: REVIEW AND APPROVAL SIGNATURES

Prior to the submission of the PIA for review and approval, the PIA must be coordinated by the Program Manager or designee through the Information Assurance Manager and Privacy Representative at the local level.

Program Manager or Designee Signature

Name:	
Title:	MDA Records Management Officer
Organization:	MDA/DOCM
Work Telephone Number:	
DSN:	
Email Address:	
Date of Review:	6/2/2009

Other Official Signature (to be used at Component discretion)

Name:	
Title:	EMS Application Administrator
Organization:	MDA/DOCM
Work Telephone Number:	
DSN:	
Email Address:	
Date of Review:	5/30/2009

Approved for Public Release
09-MDA-5033 (05 NOV 09)

Other Official Signature (to be used at Component discretion)

Name:

Title: Privacy Office Project Lead

Organization: MDA/DOCM

Work Telephone Number:

DSN:

Email Address:

Date of Review:

Component Senior Information Assurance Officer Signature or Designee

Name:

Title: Assistant Deputy for Information Assurance Computer Network Defense

Organization: DOCV

Work Telephone Number:

DSN:

Email Address:

Date of Review:

Component Privacy Officer Signature

Name:

Title: Assistant Deputy CIO Information Management

Organization: MDA/DOCM

Work Telephone Number:

DSN:

Email Address:

Date of Review:

Approved for Public Release
09-MDA-5033 (05 NOV 09)

Component CIO Signature (Reviewing Official)	
Name:	
Title:	Chief Information Officer
Organization:	MDA/DOC
Work Telephone Number:	
DSN:	
Email Address:	
Date of Review:	

Publishing:

Only Sections 1 and 2 of this PIA will be published. Each DoD Component will maintain a central repository of PIAs on the Component's public Web site. DoD Components will submit an electronic copy of each approved PIA to the DoD CIO at: pia@osd.mil.

If the PIA document contains information that would reveal sensitive information or raise security concerns, the DoD Component may restrict the publication of the assessment to include Sections 1 and 2.

Approved for Public Release
09-MDA-5033 (05 NOV 09)

APPENDIX

Data Aggregation. Any process in which information is gathered and expressed in a summary form for purposes such as statistical analysis. A common aggregation purpose is to compile information about particular groups based on specific variables such as age, profession, or income.

DoD Information System. A set of information resources organized for the collection, storage, processing, maintenance, use, sharing, dissemination, disposition, display, or transmission of information. Includes automated information system (AIS) applications, enclaves, outsourced information technology (IT)-based processes and platform IT interconnections.

Electronic Collection. Any collection of information enabled by IT.

Federal Personnel. Officers and employees of the Government of the United States, members of the uniformed services (including members of the Reserve Components), and individuals entitled to receive immediate or deferred retirement benefits under any retirement program of the United States (including survivor benefits). For the purposes of PIAs, DoD dependents are considered members of the general public.

Personally Identifiable Information (PII). Information about an individual that identifies, links, relates or is unique to, or describes him or her (e.g., a social security number; age; marital status; race; salary; home telephone number; other demographic, biometric, personnel, medical, and financial information). Also, information that can be used to distinguish or trace an individual's identity, such as his or her name; social security number; date and place of birth; mother's maiden name; and biometric records, including any other personal information that is linked or linkable to a specified individual.

Privacy Act Statements. When an individual is requested to furnish personal information about himself or herself for inclusion in a system of records, providing a Privacy Act statement is required to enable the individual to make an informed decision whether to provide the information requested.

Privacy Advisory. A notification informing an individual as to why information is being solicited and how such information will be used. If PII is solicited by a DoD Web site (e.g., collected as part of an email feedback/ comments feature on a Web site) and the information is not maintained in a Privacy Act system of records, the solicitation of such information triggers the requirement for a privacy advisory (PA).

System of Records Notice (SORN). Public notice of the existence and character of a group of records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual. The Privacy Act of 1974 requires this notice to be published in the Federal Register upon establishment or substantive revision of the system, and establishes what information about the system must be included.

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09-MDA-5033 (05 NOV 09)