



PRIVACY IMPACT ASSESSMENT (PIA)

For the

Freedom of Information Act and Privacy Act Case Files (FOIAXpress)
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Defense Threat Reduction Agency

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.

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
- 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

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.

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.

5 U.S.C., The Freedom of Information Act; 5 U.S.C. 552a, The Privacy Act of 1974; DoD 5400.7-R, DoD Freedom of Information Act Program; DoD Directive 5400.11 and DoD 5400.11-R, DoD Privacy Program; DTRA Instruction 5400.7, FOIA Program; DTRA Instruction 5400.11, Defense Threat Reduction Agency (DTRA) Privacy Program; and Executive Order 9397 - (SSN)

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.

FOIAXpress is a web-based commercial-off-the shelf system that electronically processes Freedom of Information Act (FOIA) / Privacy Act (PA) / Appeal requests. The application handles a request from beginning to end. It records requests as well as requester details that contain personal identifiable information (PII) such as name, Social Security Number, address, e-mail, and telephone number. It also stores, retrieves, redacts, and prints documents for delivery. It is used to process FOIA requests, access and amend PA requests, administer appeals and litigation arising from such requests, and to assist DTRA in discharging any other responsibilities under FOIA and PA.

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

Potential mishandling of privacy information is low. DTRA has a mandatory requirement for all individuals to complete PA Training. System access is limited to users who process requests, monitored by system administrators and is routinely checked for access requirements. The system resides on a DoD network server and is Common Access Card enabled; only individuals with a need-to-know may access and use FOIAXpress system.

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.

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.

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.

PII is not solicited from requesters; it is submitted voluntarily by them. In accordance with FOIA, requester names and request subjects are public information; therefore, requesters do not have an opportunity to object to the collection of information about their requests or their names or to consent to the specific uses of the information. However, all PII other than name is appropriately protected when requests for this information are received.

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.

PII is not solicited from requesters; it is submitted voluntarily by them. In accordance with FOIA, requester names and request subjects are public information; therefore, requesters do not have an opportunity to object to the collection of information about their requests or their names or to consent to the specific uses of the information. However, all PII other than name is appropriately protected when requests for this information are received.

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.

There is no form or format for FOIA or PA requests. Submission of required information, such as address, is voluntary; however, failure to submit the information may preclude any further processing actions. If the requester is the subject of the request, he or she receives a complete copy of the requested personnel files that may be maintained by DTRA. If the requester requests information about someone else, he or she receives a copy of the requested personal files that may be maintained by DTRA; however, PII is redacted. The means of delivery may be paper copy, electronic, or digital (CD, video, or audio tape).

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.