

PRIVACY IMPACT ASSESSMENT (PIA)

PRESCRIBING AUTHORITY: DoD Instruction 5400.16, "DoD Privacy Impact Assessment (PIA) Guidance". Complete this form for Department of Defense (DoD) information systems or electronic collections of information (referred to as an "electronic collection" for the purpose of this form) that collect, maintain, use, and/or disseminate personally identifiable information (PII) about members of the public, Federal employees, contractors, or foreign nationals employed at U.S. military facilities internationally. In the case where no PII is collected, the PIA will serve as a conclusive determination that privacy requirements do not apply to system.

1. DOD INFORMATION SYSTEM/ELECTRONIC COLLECTION NAME:

Deliberate and Crisis Action Planning and Execution Segments (DCAPES)

2. DOD COMPONENT NAME:

United States Air Force

3. PIA APPROVAL DATE:

01/05/21

SECTION 1: PII DESCRIPTION SUMMARY (FOR PUBLIC RELEASE)

a. The PII is: (Check one. Note: Federal contractors, military family members, and foreign nationals are included in general public.)

- From members of the general public From Federal employees
 from both members of the general public and Federal employees Not Collected (if checked proceed to Section 4)

b. The PII is in a: (Check one.)

- New DoD Information System New Electronic Collection
 Existing DoD Information System Existing Electronic Collection
 Significantly Modified DoD Information System

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

Deliberate and Crisis Action Planning and Execution Segments (DCAPES) is the United States Air Force's system of record for managing Operational Plan requirements. The system integrates automated decision support applications and information exchange capabilities to provide the Air Force the means to plan, present, source, mobilize, deploy, account for, sustain, redeploy, and reconstitute forces. Categories of records are: Mailing/home address, military records, place of birth, race/ethnicity records, birth date, education information, marital status, rank/grade, security information, DoD ID number, gender/gender identification, name(s), religious preference, and social security numbers (SSN).

d. Why is the PII collected and/or what is the intended use of the PII? (e.g., verification, identification, authentication, data matching, mission-related use, administrative use)

Records are collected to allow the Air Force to assign personnel to deployment requirements and to create official contingency, exercise, and deployment (CED) travel orders for Air Force personnel and to respond to authorized internal and external requests for deployment data and data relating to Air Force CED travel.

e. Do individuals have the opportunity to object to the collection of their PII? Yes No

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

(2) If "No," state the reason why individuals cannot object to the collection of PII.

Information obtained from source systems via manual file transfers and automated external system interfaces with: Defense Civilian Personnel Data System (DCPDS) (SORN DPR 34 DoD); Defense Manpower Data Center (DMDC) (SORN DMDC 01); Air Force Civilian Personnel Data System (PDS) (SORN F036 Air Force Personnel Center (AFPC) Q); Air Force Military Personnel Data System (MilPDS) (SORN F036 Air Force Personnel Center (AFPC) C); Manpower Programming and Execution System (MPES); Joint Operational Planning and Execution System (JOPES); and Air Force Logistics Module (LOGMOD).

f. 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.

Information obtained from source systems via manual file transfers and automated external system interfaces with: Defense Civilian Personnel Data System (DCPDS) (SORN DPR 34 DoD); Defense Manpower Data Center (DMDC) (SORN DMDC 01); Air Force Civilian Personnel Data System (PDS) (SORN F036 Air Force Personnel Center (AFPC) Q); Air Force Military Personnel Data System (MilPDS) (SORN F036 Air Force Personnel Center (AFPC) C); Manpower Programming and Execution System (MPES); Joint Operational Planning and Execution System (JOPES); and Air Force Logistics Module (LOGMOD).

g. When an individual is asked to provide PII, a Privacy Act Statement (PAS) and/or a Privacy Advisory must be provided. (Check as appropriate and provide the actual wording.)

- Privacy Act Statement
 Privacy Advisory
 Not Applicable

Privacy Act Statements/Advisories provided at point of collection, such as; Defense Civilian Personnel Data System (DCPDS) (SORN DPR 34 DoD); Defense Manpower Data Center (DMDC) (SORN DMDC 01); Air Force Civilian Personnel Data System (PDS) (SORN F036 Air Force Personnel Center (AFPC) Q); Air Force Military Personnel Data System (MilPDS) (SORN F036 Air Force Personnel Center (AFPC) C); Manpower Programming and Execution System (MPES); Joint Operational Planning and Execution System (JOPES); and Air Force Logistics Module (LOGMOD).

h. With whom will the PII be shared through data/system exchange, both within your DoD Component and outside your Component? (Check all that apply)

- | | | |
|--|----------|---|
| <input checked="" type="checkbox"/> Within the DoD Component | Specify. | Defense Manpower Data Center (DMDC) (SORN DMDC 01);
Manpower Programming and Execution System (MPES)
Joint Operational Planning and Execution System (JOPES)
Cargo Movement Operating System (CMOS) (SORN F024 AF AFMC A);
Global Air Transportation Execution System (GATES) (SORN F024 AF USTRANSCOM D DoD);
Logistics Module (LOGMOD) |
| <input type="checkbox"/> Other DoD Components (i.e. Army, Navy, Air Force) | Specify. | |
| <input type="checkbox"/> Other Federal Agencies (i.e. Veteran's Affairs, Energy, State) | Specify. | |
| <input type="checkbox"/> State and Local Agencies | Specify. | |
| <input type="checkbox"/> Contractor (Name of contractor and describe the language in the contract that safeguards PII. Include whether FAR privacy clauses, i.e., 52.224-1, Privacy Act Notification, 52.224-2, Privacy Act, and FAR 39.105 are included in the contract.) | Specify. | |
| <input type="checkbox"/> Other (e.g., commercial providers, colleges). | Specify. | |

i. Source of the PII collected is: (Check all that apply and list all information systems if applicable)

- | | |
|--|---|
| <input type="checkbox"/> Individuals | <input type="checkbox"/> Databases |
| <input checked="" type="checkbox"/> Existing DoD Information Systems | <input type="checkbox"/> Commercial Systems |
| <input type="checkbox"/> Other Federal Information Systems | |

PII data is collected from source systems: Defense Civilian Personnel Data System (DCPDS) (SORN DPR 34 DoD); Defense Manpower Data Center (DMDC) (SORN DMDC 01); Air Force Civilian Personnel Data System (PDS) (SORN F036 Air Force Personnel Center (AFPC) Q); Air Force Military Personnel Data System (MilPDS) (SORN F036 Air Force Personnel Center (AFPC) C); Manpower Programming and Execution System (MPES); Joint Operational Planning and Execution System (JOPES); and Air Force Logistics Module (LOGMOD).

j. How will the information be collected? (Check all that apply and list all Official Form Numbers if applicable)

- | | |
|---|--|
| <input type="checkbox"/> E-mail | <input type="checkbox"/> Official Form (Enter Form Number(s) in the box below) |
| <input type="checkbox"/> In-Person Contact | <input type="checkbox"/> Paper |
| <input type="checkbox"/> Fax | <input type="checkbox"/> Telephone Interview |
| <input checked="" type="checkbox"/> Information Sharing - System to System | <input type="checkbox"/> Website/E-Form |
| <input type="checkbox"/> Other (If Other, enter the information in the box below) | |

k. 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 must be consistent.

- Yes No

If "Yes," enter SORN System Identifier F010 AFMC

SORN Identifier, not the Federal Register (FR) Citation. Consult the DoD Component Privacy Office for additional information or <http://dpcl.d.defense.gov/Privacy/SORNs/>

or

If a SORN has not yet been published in the Federal Register, enter date of submission for approval to Defense Privacy, Civil Liberties, and Transparency Division (DPCLTD). Consult the DoD Component Privacy Office for this date

If "No," explain why the SORN is not required in accordance with DoD Regulation 5400.11-R: Department of Defense Privacy Program.

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I. What is the National Archives and Records Administration (NARA) approved, pending or general records schedule (GRS) disposition authority for the system or for the records maintained in the system?

(1) NARA Job Number or General Records Schedule Authority.

(2) If pending, provide the date the SF-115 was submitted to NARA.

(3) Retention Instructions.

T 10 - 03 R 12.00- Personnel Support for Contingency Operations (PERSCO) for Deployment (AOR) Monitoring--Maintain current year plus 1 inactive fiscal year at the port. Retire to staging as permanent. All records relating to or associated with deployment(s) are frozen and treated as permanent to comply with request issued by Deputy Secretary of Defense (January 2004). This freeze will remain until notice issued by SECDEF.
T 10 - 04 R 04.00- Basic Planning Records & Background Material; Destroy when related plan or order is superseded or obsolete.
T 10 - 11 R 02.00- Planning Records-- Destroy when superseded, obsolete or no longer needed.
T 17 - 09 R 03.00- Deployment Preparation-- Destroy after 3 years.
T 33 - 25 R 01.00- Worldwide Military Command & Control System, Threat Documentation, AIS Access Record @ AIS Activity/ Facilities-- Destroy when superseded, obsolete, or no longer needed.
T 36 - 01 R 19.00- USAF Personnel Plan-- Destroy when superseded, obsolete, or no longer needed.
Note: Among the disposition cited in this field, the one with the longest retention time will be used on the system's records data

m. What is the authority to collect information? A Federal law or Executive Order must authorize the collection and maintenance of a system of records. For PII not collected or maintained in a system of records, the collection or maintenance of the PII must be necessary to discharge the requirements of a statute or Executive Order.

- (1) If this system has a Privacy Act SORN, the authorities in this PIA and the existing Privacy Act SORN should be similar.
- (2) If a SORN does not apply, 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) Cite the specific provisions of the statute and/or EO that authorizes the operation of the system and the collection of PII.
 - (b) If direct statutory authority or an Executive Order does not exist, indirect statutory 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) If direct or indirect authority does not exist, 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 must be identified.

10 U.S.C. 9013, Secretary of the Air Force; 10 U.S.C. 9032, The Air Staff, general duties; Air Force Policy Directive 10-4, Operations Planning Air & Space Expeditionary Force Presence Policy; Air Force Instruction 10-401, Air Force Operations Planning & Execution; Air Force Instruction 10-403, Deployment Planning & Execution; Air Force Instruction 36-3802, Force Support Readiness Programs; and E.O. 9397 (SSN), as amended.

n. Does this DoD information system or electronic collection have an active and approved Office of Management and Budget (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 No Pending

- (1) If "Yes," list all applicable OMB Control Numbers, collection titles, and expiration dates.
- (2) If "No," explain why OMB approval is not required in accordance with DoD Manual 8910.01, Volume 2, " DoD Information Collections Manual: Procedures for DoD Public Information Collections."
- (3) If "Pending," provide the date for the 60 and/or 30 day notice and the Federal Register citation.

DCAPES records are an internal information collection that does not collect information from members of the public.

SECTION 2: PII RISK REVIEW

a. What PII will be collected (a data element alone or in combination that can uniquely identify an individual)? (Check all that apply)

- | | | |
|--|---|--|
| <input type="checkbox"/> Biometrics | <input checked="" type="checkbox"/> Birth Date | <input type="checkbox"/> Child Information |
| <input type="checkbox"/> Citizenship | <input type="checkbox"/> Disability Information | <input checked="" type="checkbox"/> DoD ID Number |
| <input type="checkbox"/> Driver's License | <input checked="" type="checkbox"/> Education Information | <input checked="" type="checkbox"/> Emergency Contact |
| <input type="checkbox"/> Employment Information | <input type="checkbox"/> Financial Information | <input checked="" type="checkbox"/> Gender/Gender Identification |
| <input type="checkbox"/> Home/Cell Phone | <input type="checkbox"/> Law Enforcement Information | <input type="checkbox"/> Legal Status |
| <input checked="" type="checkbox"/> Mailing/Home Address | <input checked="" type="checkbox"/> Marital Status | <input type="checkbox"/> Medical Information |
| <input checked="" type="checkbox"/> Military Records | <input type="checkbox"/> Mother's Middle/Maiden Name | <input checked="" type="checkbox"/> Name(s) |
| <input type="checkbox"/> Official Duty Address | <input type="checkbox"/> Official Duty Telephone Phone | <input type="checkbox"/> Other ID Number |
| <input type="checkbox"/> Passport Information | <input type="checkbox"/> Personal E-mail Address | <input type="checkbox"/> Photo |
| <input checked="" type="checkbox"/> Place of Birth | <input type="checkbox"/> Position/Title | <input type="checkbox"/> Protected Health Information (PHI) ¹ |
| <input checked="" type="checkbox"/> Race/Ethnicity | <input checked="" type="checkbox"/> Rank/Grade | <input checked="" type="checkbox"/> Religious Preference |
| <input checked="" type="checkbox"/> Records | <input checked="" type="checkbox"/> Security Information | <input checked="" type="checkbox"/> Social Security Number (SSN) (Full or in any form) |
| <input type="checkbox"/> Work E-mail Address | <input type="checkbox"/> If Other, enter the information in the box below | |

If the SSN is collected, complete the following questions.

(DoD Instruction 1000.30 states that all DoD personnel shall reduce or eliminate the use of SSNs wherever possible. SSNs shall not be used in spreadsheets, hard copy lists, electronic reports, or collected in surveys unless they meet one or more of the acceptable use criteria.)

(1) Is there a current DPCLTD approved SSN Justification on Memo in place?

- Yes No

If "Yes," provide the signatory and date approval. If "No," explain why there is no SSN Justification Memo.

SSN Justification memo sent to DoD on 22 September 2020.

(2) Describe the approved acceptable use in accordance with DoD Instruction 1000.30 "Reduction of Social Security Number (SSN) Use within DoD".

Interaction with Financial institutions, computer matching and Legacy System Interface

(3) Describe the mitigation efforts to reduce the use including visibility and printing of SSN in accordance with DoD Instructoin 1000.30, "Reduction of Social Security Number (SSN) Use within DoD".

The DCAPES transition from SSN to Electronic Data Interchange Personal Identifiers (EDIPI) is underway and scheduled to be fielded not later than Oct 2022. Interface partners have been notified and updated interface agreements are being negotiated.

(4) Has a plan to eliminate the use of the SSN or mitigate its use and or visibility been identified in the approved SSN Justification request?

If "Yes," provide the unique identifier and when can it be eliminated?

If "No," explain.

- Yes No

The DCAPES Plan of Action and Milestones (POAM) which includes SSN reduction, has been stored on the SIPRNET. An unclassified SSN Reduction Plan is being submitted with this PIA.

b. What is the PII confidentiality impact level²? Low Moderate High

¹The definition of PHI involves evaluating conditions listed in the HIPAA. Consult with General Counsel to make this determination.

²Guidance on determining the PII confidentiality impact level, see Section 2.5 "Categorization of PII Using NIST SP 800-122." Use the identified PII confidentiality impact level to apply the appropriate Privacy Overlay low, moderate, or high. This activity may be conducted as part of the categorization exercise that occurs under the Risk Management Framework (RMF). Note that categorization under the RMF is typically conducted using the information types described in NIST Special Publication (SP) 800-60, which are not as granular as the PII data elements listed in the PIA table. Determining the PII confidentiality impact level is most effective when done in collaboration with the Information Owner, Information System Owner, Information System Security Manager, and representatives from the security and privacy organizations, such as the Information System Security Officer (ISSO) and Senior Component Official for Privacy (SCOP) or designees.

NOTE: Sections 1 above is 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 if they contain information that would reveal sensitive information or raise security concerns.