



## PRIVACY THRESHOLD ANALYSIS (PTA)

**This form serves as the official determination by the DHS Privacy Office to identify the privacy compliance requirements for all Departmental uses of personally identifiable information (PII).**

A Privacy Threshold Analysis (PTA) serves as the document used to identify information technology (IT) systems, information collections/forms, technologies, rulemakings, programs, information sharing arrangements, or pilot projects that involve PII and other activities that otherwise impact the privacy of individuals as determined by the Chief Privacy Officer, pursuant to Section 222 of the Homeland Security Act, and to assess whether there is a need for additional Privacy Compliance Documentation. A PTA includes a general description of the IT system, information collection, form, technology, rulemaking, program, pilot project, information sharing arrangement, or other Department activity and describes what PII is collected (and from whom) and how that information is used and managed.

Please complete the attached Privacy Threshold Analysis and submit it to your component Privacy Office. After review by your component Privacy Officer the PTA is sent to the Department's Senior Director for Privacy Compliance for action. If you do not have a component Privacy Office, please send the PTA to the DHS Privacy Office:

Senior Director, Privacy Compliance  
The Privacy Office  
U.S. Department of Homeland Security  
Washington, DC 20528  
Tel: 202-343-1717

[PIA@hq.dhs.gov](mailto:PIA@hq.dhs.gov)

Upon receipt from your component Privacy Office, the DHS Privacy Office will review this form and assess whether any privacy compliance documentation is required. If compliance documentation is required – such as Privacy Impact Assessment (PIA), System of Records Notice (SORN), Privacy Act Statement, or Computer Matching Agreement (CMA) – the DHS Privacy Office or component Privacy Office will send you a copy of the relevant compliance template to complete and return.



## Privacy Threshold Analysis (PTA)

### *Specialized Template for Information Collections (IC) and Forms*

The Forms-PTA is a specialized template for Information Collections and Forms. This specialized PTA must accompany all Information Collections submitted as part of the Paperwork Reduction Act process (any instrument for collection (form, survey, questionnaire, etc.) from ten or more members of the public). Components may use this PTA to assess internal, component-specific forms as well.

<b>Form Number:</b>	(CGRC-1131)		
<b>Form Title:</b>	United States Coast Guard Officer Program Application		
<b>Component:</b>	DHS	Office: Coast Guard	Coast Guard Recruiting Command

#### IF COVERED BY THE PAPERWORK REDUCTION ACT:

<b>Collection Title:</b>	GOCOASTGUARD CHAT NOW FORM		
<b>OMB Control Number:</b>	1625-TBD	OMB Expiration Date:	TBD
<b>Collection status:</b>	Initiated	Date of last PTA (if applicable):	N/A

#### PROJECT OR PROGRAM MANAGER

<b>Name:</b>	Mauro Cooper		
<b>Office:</b>	Coast Guard Recruiting Command	<b>Title:</b>	Chief, Marketing Division
<b>Phone:</b>	202-795-6823	<b>Email:</b>	Mauro.A.Cooper@uscg.mil

#### COMPONENT INFORMATION COLLECTION/FORMS CONTACT

<b>Name:</b>	Anthony Smith		
<b>Office:</b>	CG-611	<b>Title:</b>	Information Collection Manager
<b>Phone:</b>	(202) 475-3532	<b>E-mail:</b>	(202) 475-3532



## SPECIFIC IC/Forms PTA QUESTIONS

### 1. Purpose of the Information Collection or Form

This information is collected to identify prospective members, assess eligibility, and qualify candidates for service in the United States Coast Guard, and to manage, support, and enhance the Coast Guard’s enlisted and commissioned officer recruiting mission.

The Officer Program Application is a secondary questionnaire for all members applying for a commissioning program except the Coast Guard Academy and allows for additional screening of officer applicants.

14 USC 468 authorizes the United States Coast Guard to recruit personnel for military service. The information requested on the [gocoastguard.com](http://gocoastguard.com) web site is collected in accordance with Section 503 of Title 10, United States Code, and may only be used to identify and process individuals interested in applying for enlistment or commission in the United States Coast Guard or Coast Guard Reserve. Other legal authorities include 10 USC 504, 1475-1480; 14 USC 211,350,632; HSPD-12; and Executive Order 9397.

MOUs between Military Entrance Processing Command (MEPCOM) and USCG define the PII requirements for processing USCG applicants.

Records are maintained at USCG Headquarters in Washington, DC and recruiting offices.

### 2. Describe the IC/Form

<p><b>a.</b> Does this form collect any Personally Identifiable Information” (PII<sup>1</sup>)?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p><b>b.</b> From which type(s) of individuals does this form collect information? (Check all that apply.)</p>	<p><input checked="" type="checkbox"/> Members of the public  <input checked="" type="checkbox"/> U.S. citizens or lawful permanent residents  <input type="checkbox"/> Non-U.S. Persons.  <input checked="" type="checkbox"/> DHS Employees  <input type="checkbox"/> DHS Contractors</p>

<sup>1</sup> Personally identifiable information means any information that permits the identity of an individual to be directly or indirectly inferred, including any other information which is linked or linkable to that individual regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department.



	<input type="checkbox"/> Other federal employees or contractors.
<p><b>c.</b> Who will complete and submit this form? (<i>Check all that apply.</i>)</p>	<input checked="" type="checkbox"/> The record subject of the form (e.g., the individual applicant). <input type="checkbox"/> Legal Representative (preparer, attorney, etc.). <input type="checkbox"/> Business entity. If a business entity, is the only information collected business contact information? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Law enforcement. <input checked="" type="checkbox"/> DHS employee or contractor. <input type="checkbox"/> Other individual/entity/organization <b>that is NOT the record subject.</b> <i>Please describe.</i>
<p><b>d.</b> How do individuals complete the form? <i>Check all that apply.</i></p>	<input checked="" type="checkbox"/> Paper. <input checked="" type="checkbox"/> Electronic. (ex: fillable PDF) <input checked="" type="checkbox"/> Online web form. (available and submitted via the internet) <i>Provide link:</i> Online web form in development. In the interim, primary means to complete is with a fillable PDF, but hard copies are available if needed by the applicant.
<p><b>e.</b> What information will DHS collect on the form?</p>	
<p>General Public: Name (last, first, middle), date of birth, gender, race, ethnic, Social Security Number, citizenship, marital status, number of dependents, program (to which applying), home address (city, state, zip code), commission type (temporary or reserve), e-mail address, phone numbers, anticipated address, college(s) attended (undergraduate and graduate), degree &amp; date awarded/anticipated, semester hours completed, college transferring to, qualifying test type and score, Auxiliary University Program (AUP) Program Status, and cumulative grade point average (GPA).</p> <p>Military Members: Current Unit and Education Service Officer (Coast Guard members only),</p>	



EMPLID (Coast Guard members only), total active duty time, total reserve time, total flight time, branch of service (current & previous), officer or enlisted, active or reserve status, date of entry, date of release/contract expiration, and/or anticipated termination date.

**f.** Does this form collect Social Security number (SSN) or other element that is stand-alone Sensitive Personally Identifiable Information (SPII)? Yes.

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Social Security number   | <input type="checkbox"/> DHS Electronic Data Interchange Personal Identifier (EDIPI) |
| <input type="checkbox"/> Alien Number (A-Number)   | <input type="checkbox"/> Social Media Handle/ID                                      |
| <input type="checkbox"/> Tax Identification Number   | <input type="checkbox"/> Known Traveler Number                                       |
| <input type="checkbox"/> Visa Number   | <input type="checkbox"/> Trusted Traveler Number (Global Entry, Pre-Check, etc.)     |
| <input type="checkbox"/> Passport Number   | <input type="checkbox"/> Driver's License Number                                     |
| <input type="checkbox"/> Bank Account, Credit Card, or other financial account number                          | <input type="checkbox"/> Biometrics  |
| <input checked="" type="checkbox"/> Other. <i>Please list:</i> Employee ID Number (current DHS / CG employees) |  |

**g.** List the **specific authority** to collect SSN or these other SPII elements.

Legal authorities include: 10 USC 504, 1475-1480, 14 USC 211, 350, 632, Homeland Security Presidential Directive (HSPD) 12 and Executive Order 9397.

**h.** How will this information be used? What is the purpose of the collection? Describe **why** this collection of SPII is the minimum amount of information necessary to accomplish the purpose of the program.

Data is used to make recruiting contacts with potential candidates, process candidates for aptitude testing/physical exams, background checks, assess eligibility and ultimately progress to enlistment or commissioning. Information is used to qualify enlisted and officer applicants for USCG service. Data is aggregated for analysis and used to input in the USCG's Direct Access HR system to initiate pay and benefits for new members.

**i.** Are individuals provided notice at the time of collection by DHS (*Does the records subject have notice of the collection or is form filled out by third party*)?

- Yes. Please describe how notice is provided.  
Collection notice / Privacy Act statement is prominently placed on collection form.
- No.



3. How will DHS store the IC/form responses?	
<p><b>a.</b> How will DHS store the original, completed IC/forms?</p>	<p><input checked="" type="checkbox"/> Paper. Please describe. Recruiters will store any hard copy forms in the applicant’s file.</p> <p><input checked="" type="checkbox"/> Electronic. Please describe the IT system that will store the data from the form. Fillable PDF submissions will be maintained on the CG Data Network, but are viewable only to recruiters within the Recruiting Office to which the applicant is assigned. Data will be manually in-put into USCG Direct Access. Following completion of the online web form, data will transmit automatically into Direct Access.</p> <p><input type="checkbox"/> Scanned forms (completed forms are scanned into an electronic repository). Please describe the electronic repository. <a href="#">Click here to enter text.</a></p>
<p><b>b.</b> If electronic, how does DHS input the responses into the IT system?</p>	<p><input checked="" type="checkbox"/> Manually (data elements manually entered). Please describe. CGRC personnel must input data from hard copy or fillable PDF into Direct Access.</p> <p><input checked="" type="checkbox"/> Automatically. Web entries automatically transferred into Direct Access, pending development of online web form.</p>
<p><b>c.</b> How would a user search the information submitted on the forms, <i>i.e.</i>, how is the information retrieved?</p>	<p><input checked="" type="checkbox"/> By a unique identifier.<sup>2</sup> <i>Please describe.</i> By individual’s name. Recruiters access records for specific applicants to complete application process. If information is retrieved by personal identifier, please submit a Privacy Act Statement with this PTA. Included on forms.</p> <p><input checked="" type="checkbox"/> By a non-personal identifier. <i>Please describe.</i> Users can search by date (Officer applications are submitted for specific evaluation boards).</p>
<p><b>d.</b> What is the records</p>	<p>NARA retention schedule pending :</p>

<sup>2</sup> Generally, a unique identifier is considered any type of “personally identifiable information,” meaning any information that permits the identity of an individual to be directly or indirectly inferred, including any other information which is linked or linkable to that individual regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department.



<p>retention schedule(s)? <i>Include the records schedule number.</i></p>	<p>Electronic data for all applicants is retained through the end of the second fiscal year after the year of collection. Data is archived off-line for an additional two years. Information on selected applicants (who are accessed) is forwarded for inclusion in the Official Military Personnel File (OMPF).</p> <p>For officer applicants, hard-copy information on non-selected officer applicants is destroyed 6 months after deadline dates for the class for which application is made. Hard copy information collected for commissioning programs on selected applicants is forwarded for inclusion in OMPF and destroyed 1 year from the date of board by which considered.</p>
<p>e. How do you ensure that records are disposed of or deleted in accordance with the retention schedule?</p>	<p>Records are disposed or deleted in accordance with established business rules.</p>
<p>f. Is any of this information shared outside of the original program/office? <i>If yes, describe where (other offices or DHS components or external entities) and why. What are the authorities of the receiving party?</i></p>	
<p><input checked="" type="checkbox"/> Yes, information is shared with other DHS components or offices. Please describe.  Information is shared with other DHS components or offices, including:  Internal to USCG at accession points for the purposes of completing hire transactions and initiating personnel data records;</p> <p>Internal to USCG with selection board members for determination of which applicants are most suitable for selection as commissioned officers.</p> <p>USCG personnel at accession and initial training points also receive reports via encrypted email attachments, and as hard copy, hand carried reports and forms.</p> <p><input checked="" type="checkbox"/> Yes, information is shared <i>external</i> to DHS with other federal agencies, state/local partners, international partners, or non-governmental entities. Please describe.  Data is shared with DOD (MEPCOM, Defense Manpower Data Center (DMDC)), and third</p>	



party contractor performing marketing support. The data may be extracted by government personnel with Direct Access database access for official purposes.

No. Information on this form is not shared outside of the collecting office.



**Please include a copy of the referenced form and Privacy Act Statement (if applicable) with this PTA upon submission.**

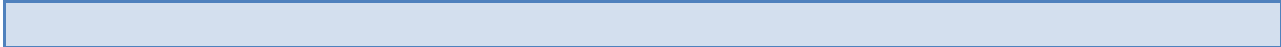




## PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

<b>Component Privacy Office Reviewer:</b>	Kenlinishia Tyler
<b>Date submitted to component Privacy Office:</b>	March 3, 2017
<b>Date submitted to DHS Privacy Office:</b>	March 24, 2017
<b>Have you approved a Privacy Act Statement for this form? (<i>Only applicable if you have received a waiver from the DHS Chief Privacy Officer to approve component Privacy Act Statements.</i>)</b>	<input checked="" type="checkbox"/> Yes. Please include it with this PTA submission. <input type="checkbox"/> No. Please describe why not. <a href="#">Click here to enter text.</a>
<b>Component Privacy Office Recommendation:</b>	
<i>Please include recommendation below, including what existing privacy compliance documentation is available or new privacy compliance documentation is needed.</i>	
<p>The Officer Program Application form (CG-1131) collects name (last, first, middle), date of birth, gender, race, ethnic, Social Security Number, citizenship, marital status, number of dependents, program (to which applying), home address (city, state, zip code), commission type (temporary or reserve), e-mail address, phone numbers, anticipated address, college(s) attended (undergraduate and graduate), degree &amp; date awarded/anticipated, semester hours completed, college transferring to, qualifying test type and score, Auxiliary University Program (AUP) Program Status, and cumulative grade point average (GPA) from the public.</p> <p>CG-1131 may also collect current unit and Education Service Officer (Coast Guard members only), EMPLID (Coast Guard members only), total active duty time, total reserve time, total flight time, branch of service (current &amp; previous), officer or enlisted, active or reserve status, date of entry, date of release/contract expiration, and/or anticipated termination date from USCG personnel.</p> <p>DHS/USCG/PIA-024 (Direct Access) and DHS/USCG-014 (Military Pay and Personnel System) provides coverage for this collection.</p>	



## PRIVACY THRESHOLD ADJUDICATION

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

<b>DHS Privacy Office Reviewer:</b>	<b>Michael Capparra</b>
<b>PCTS Workflow Number:</b>	1141162
<b>Date approved by DHS Privacy Office:</b>	3/31/17
<b>PTA Expiration Date</b>	3/31/20

### DESIGNATION

<b>Privacy Sensitive IC or Form:</b>	<b>Yes . If “no” PTA adjudication is complete.</b>
<b>Determination:</b>	<input type="checkbox"/> PTA sufficient at this time. <input type="checkbox"/> Privacy compliance documentation determination in progress. <input type="checkbox"/> New information sharing arrangement is required. <input type="checkbox"/> DHS Policy for Computer-Readable Extracts Containing SPII applies. <input type="checkbox"/> Privacy Act Statement required. <input checked="" type="checkbox"/> Privacy Impact Assessment (PIA) required. <input checked="" type="checkbox"/> System of Records Notice (SORN) required. <input type="checkbox"/> Specialized training required. <input type="checkbox"/> Other. Click here to enter text.
<b>DHS IC/Forms Review:</b>	Choose an item.
<b>Date IC/Form Approved by PRIV:</b>	Click here to enter a date.
<b>IC/Form PCTS Number:</b>	Click here to enter text.
<b>Privacy Act Statement:</b>	Choose an item. Click here to enter text.



<b>PTA:</b>	No system PTA required. Click here to enter text.
<b>PIA:</b>	System covered by existing PIA If covered by existing PIA, please list: DHS/USCG/PIA-024 – Direct Access If a PIA update is required, please list: Click here to enter text.
<b>SORN:</b>	System covered by existing SORN If covered by existing SORN, please list: DHS/USCG-014 - Military Pay and Personnel October 28, 2011 76 FR 66933 If a SORN update is required, please list: Click here to enter text.
<b>DHS Privacy Office Comments:</b> <i>Please describe rationale for privacy compliance determination above.</i>	
<p>The DHS Privacy Office finds that the United States Coast Guard Officer Program Application is a privacy sensitive collection, requiring both PIA and SORN coverage. The application collects a variety of personally identifiable information that is used to make recruiting contacts with potential candidates, process candidates for aptitude testing/physical exams, background checks, assess eligibility and ultimately progress to enlistment or commissioning. Information collected includes name (last, first, middle), date of birth, gender, race, ethnic, Social Security Number, citizenship, marital status, number of dependents, program (to which applying), home address (city, state, zip code), commission type (temporary or reserve), e-mail address, phone numbers, etc.</p> <p>The DHS Privacy Office finds that PIA coverage is provided by DHS/USCG/PIA-024 – Direct Access, which assesses the privacy risks associated with the Coast Guard’s use of PII in its Direct Access system to conduct human resources and payroll functions. SORN coverage is provided DHS/USCG-014 - Military Pay and Personnel System of Records Notice, which outlines the Coast Guard’s collection and maintenance of records in order to administer the USCG active duty, reserve, and retired active duty and retired reserve military pay and personnel system.</p>	