

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:

Aircraft and Personnel Automated Clearance System (APACS)

2. DOD COMPONENT NAME:

United States Air Force

3. PIA APPROVAL DATE:

SecAF is designated the DoD Executive Agent for the DoD Foreign Clearance Program per DoDD 4500.54E and OPR to manage APACS

SECTION 1: PII DESCRIPTION SUMMARY (FOR PUBLIC RELEASE)

a. The PII is: (Check one. Note: foreign nationals are included in general public.)

- | | |
|--|--|
| <input type="checkbox"/> From members of the general public | <input type="checkbox"/> From Federal employees and/or Federal contractors |
| <input checked="" type="checkbox"/> From both members of the general public and Federal employees and/or Federal contractors | <input type="checkbox"/> Not Collected (if checked proceed to Section 4) |

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

- | | |
|--|---|
| <input type="checkbox"/> New DoD Information System | <input type="checkbox"/> New Electronic Collection |
| <input checked="" type="checkbox"/> Existing DoD Information System | <input type="checkbox"/> Existing Electronic Collection |
| <input type="checkbox"/> 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.

APACS is a web-based application, currently hosted on the DISA milCloud service, is operated by the U.S. Air Force due to the Secretary of the Air Force being designated as the Department of Defense (DoD) Executive Agent for the DoD Foreign Clearance Program.

It is designed to aid DoD mission planners, aircraft operators and DoD personnel in meeting host nation aircraft diplomatic and personnel travel clearance requirements outlined in the DoD Foreign Clearance Guide. APACS provides requesting, approving, and monitoring organizations (i.e., country clearance approvers at U.S. Embassies, Geographical Combatant Commands (GCC) theater clearance approvers, and Office of the Secretary of Defense (OSD) special area clearance approvers) access to a common, centralized, and secure database that contains all the information required to process/approve foreign travel clearances.

Types of PII Collection: Name(s); Position/Title; Rank/Grade; Employment Information; Security Information; DoD ID Number; Citizenship; Work E-mail Address; Official Duty Address; Official Duty Telephone Phone; Personal E-mail Address; Home/Cell Phone; Passport Information; Place of Birth; Birth Date; Emergency Contact.

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)

PII is used by in-country U.S. Embassy approvers to grant country travel clearances, Geographical Combatant Commands approvers to grant theater travel clearances and by the Office of Secretary of Defense for Policy approvers to grant special area travel clearances. Aircrew PII information for verification, identification and authentication of travelers for aircraft and personnel travel clearances.

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.

User disclosure of PII is voluntary. However, failure to furnish the requested information may result in denial of aircraft and/or personnel travel clearance requests by country / theater / special area clearance approvers respectively.

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.

Level of required PII is specific to the traveler's destination and type of the required travel clearance (i.e., official, leave). If the individual withhold their consent, it may result in denial of aircraft and/or personnel travel clearance.

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

Authority: 10 U.S.C. 7013, Secretary of the Army; 10 U.S.C. 8013, Secretary of the Navy; 10 U.S.C. 9013, Secretary of the Air Force; 22 U.S.C. 4801, Findings and purpose; 22 U.S.C. 4802, Responsibility of Secretary of State; and 22 U.S.C. 4805, Cooperation of other Federal Agencies; Public Law 99-399, Omnibus Diplomatic Security and Antiterrorism Act of 1986; Department of Defense Directive 4500.54E, DoD Foreign Clearance Program; DoD Directive 5400.11, Privacy Program; NIST.SP.800-53r4, Security and Privacy Controls for Federal Information Systems and Organizations; Privacy Act of 1974.

Purpose: This system is a web-based application operated by the U.S. Air Force due to the Secretary of the Air Force being designated as the Department of Defense (DoD) Executive Agent for the DoD Foreign Clearance Program. It is designed to aid DoD mission planners, aircraft operators and DoD personnel in meeting host nation aircraft diplomatic and personnel travel clearance requirements outlined in the DoD Foreign Clearance Guide. APACS provides requesting, approving, and monitoring organizations (i.e., country clearance approvers at U.S. Embassies, Geographical Combatant Commands (GCC) theater clearance approvers, and Office of the Secretary of Defense (OSD) special area clearance approvers) access to a common, centralized, and secure database that contains all the information required to process/approve foreign travel clearances.

Routine Use:

Congressional Inquiries Disclosure Routine Use: Disclosure from a system of records maintained by a DoD Component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure of Information to the General Services Administration Routine Use: A record from a system of records maintained by a DoD Component may be disclosed as a routine use to the General Services Administration for the purpose of records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Disclosure of Information to the National Archives and Records Administration Routine Use: A record from a system of records maintained by a DoD Component may be disclosed as a routine use to the National Archives and Records Administration for the purpose of records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

Disclosure: User disclosure of PII is voluntary. However, failure to furnish the requested information may result in denial of aircraft and/or personnel travel clearance requests.

System of Records Notice: F011 AF A3 B DoD - DoD Foreign Clearance Program Records (January 03, 2012, 77 FR 94).

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

Within the DoD Component

Specify.

To appropriate agencies, entities, and persons when (1) The Department of Defense (DoD) suspects or has confirmed that the security or confidentiality of the information in the system of records; (2) the DoD has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the DoD (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the DoD's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm.

Other DoD Components

Specify.

In an appropriate proceeding before a court, grand jury, or administrative or adjudicative body or official, when the DoD or other Agency representing the DoD determines that the records are relevant and necessary to the proceeding; or in an appropriate proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding.

Other Federal Agencies

Specify.

To any component of the Department of Justice for the purpose of representing the DoD, or its components, officers, employees, or members in pending or potential litigation to which the record is pertinent.
To the National Archives and Records Administration for the purpose of records management inspections conducted. This routine use complies with 44 U.S.C. §§ 2904 and 2906.

To another Federal agency or Federal entity, when the Department of Defense (DoD) determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

To a domestic or foreign entity that has entered into a public-private partnership with the Defense POW/MIA Accounting Agency (DPAA). This routine use complies with 10 U.S.C. 1501a, when DPAA determines that such disclosure is necessary to the performance of services DPAA has agreed shall be performed by the partner.

State and Local Agencies

Specify.

To appropriate Federal, State, local, territorial, tribal, foreign, or international agencies for the purpose of counterintelligence activities. This routine use complies with U.S. law or Executive Order, or for the purpose of executing or enforcing laws designed to protect the national security or homeland security of the United States, including those relating to the sharing of records or information concerning terrorism, homeland security, or law enforcement.

To the appropriate Federal, State, local, territorial, tribal, foreign, or international law enforcement authority or other appropriate entity where a record, either alone or in conjunction with other information, indicates a violation or potential violation of law, whether criminal, civil, or regulatory in nature

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.

Contractor Name: Science Applications International Corporation (SAIC)
FAR 52.224-1 – Privacy Act Notification, 52.224-2 – Privacy Act, and FAR 39.105 clauses are not included in the contract. However, the contract contains a clause on paragraph 4.5.3 as: “Non-Disclosure Agreement (NDA) – Contractor personnel shall not divulge or release data or information developed or obtained in the performance of this requirement, until made public or specifically authorized by the Government. The Contractor shall not use, disclose, or reproduce third party companies’ proprietary data, other than that as authorized and required in performance of this requirement. Personnel working on this project will be required to sign a Non-Disclosure Agreement (NDA) immediately upon their start on the requirement. The Contractor’s procedures for protecting against unauthorized disclosure of information shall not require DoD employees or members of Armed Forces to relinquish control of their work product, whether classified or not, to the Contractor.”

FAR 52.224-1 – Privacy Act Notification, 52.224-2 – Privacy Act, and FAR 39.105 clauses will be included in the next PWS scheduled to be renewed on/about May 2021.

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

Specify.

To contractors, grantees, experts, consultants, students, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for the federal government when necessary to accomplish an agency function related to this system of records.

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

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

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

User is required to enter PII in the personnel clearance module and "Traveler Notes" fields within the APACS web database user interface.

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 **F011 AF A3 B DoD - DoD Foreign Clea**

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.

Modification in progress

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.

Table & Rule: T 31 - 08 R 22.00; Title: Foreign Travel; Disposition: Destroy after 5 years

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. 7013, Secretary of the Army; 10 U.S.C. 8013, Secretary of the Navy; 10 U.S.C. 9013, Secretary of the Air Force; 22 U.S.C. 4801, Findings and purpose; 22 U.S.C. 4802, Responsibility of Secretary of State; and 22 U.S.C. 4805, Cooperation of other Federal Agencies; Public Law 99-399, Omnibus Diplomatic Security and Antiterrorism Act of 1986; Department of Defense Directive 4500.54E, DoD Foreign Clearance Program; NIST.SP.800-53r4, Security and Privacy Controls for Federal Information Systems and Organizations; Chapter 4 Office of the Secretary of Defense, DoD Directive 5101.1, DoD Executive Agent, DoD 4500.09-R, Defense Transportation Regulation, DoD Manual 1000.21 DoD Passport and Passport Agent Services

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.

OMB # 0701-0160 expires 30 Jun 2021

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

Note: Passport and Dates of Birth are annotated in the notes field of the traveler's request within the application.

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 (dated within two (2) years) 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.

N/A

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

N/A

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

N/A

(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

N/A

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.

c. How will the PII be secured?

(1) Physical Controls. *(Check all that apply)*

- | | |
|---|--|
| <input checked="" type="checkbox"/> Cipher Locks | <input checked="" type="checkbox"/> Closed Circuit TV (CCTV) |
| <input checked="" type="checkbox"/> Combination Locks | <input checked="" type="checkbox"/> Identification Badges |
| <input checked="" type="checkbox"/> Key Cards | <input type="checkbox"/> Safes |
| <input checked="" type="checkbox"/> Security Guards | <input checked="" type="checkbox"/> If Other, enter the information in the box below |

DISA Oklahoma City and Montgomery Defense Enterprise Computing Centers secure sites.

(2) Administrative Controls. *(Check all that apply)*

- Backups Secured Off-site
- Encryption of Backups
- Methods to Ensure Only Authorized Personnel Access to PII
- Periodic Security Audits
- Regular Monitoring of Users' Security Practices
- If Other, enter the information in the box below

(3) Technical Controls. *(Check all that apply)*

- | | | |
|---|---|---|
| <input type="checkbox"/> Biometrics | <input checked="" type="checkbox"/> Command Access Card (CAC) | <input checked="" type="checkbox"/> DoD Public Key Infrastructure Certificates |
| <input checked="" type="checkbox"/> Encryption of Data at Rest | <input checked="" type="checkbox"/> Encryption of Data in Transit | <input checked="" type="checkbox"/> External Certificate Authority Certificates |
| <input checked="" type="checkbox"/> Firewall | <input checked="" type="checkbox"/> Intrusion Detection System (IDS) | <input checked="" type="checkbox"/> Least Privilege Access |
| <input checked="" type="checkbox"/> Role-Based Access Controls | <input type="checkbox"/> Used Only for Privileged (Elevated Roles) | <input checked="" type="checkbox"/> User Identification and Password |
| <input checked="" type="checkbox"/> Virtual Private Network (VPN) | <input type="checkbox"/> If Other, enter the information in the box below | |

Currently hosted on the DISA milCloud service with data at rest encryption in place

d. What additional measures/safeguards have been put in place to address privacy risks for this information system or electronic collection?