PRIVACY IMPACT ASSESSMENT (PIA)

PRESENTING 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:
   E-SUBMISSION (ESUB)

2. DOD COMPONENT NAME:
   Department of the Navy

3. PIA APPROVAL DATE:
   03/08/21

   Bureau of Naval Personnel (BUPERS)

SECTION 1: PII DESCRIPTION SUMMARY (FOR PUBLIC RELEASE)

a. The PII is: (Check one. Note: foreign nationals are included in general public.)
   - From members of the general public
   - From both members of the general public and Federal employees and/or Federal contractors
   - From Federal employees and/or Federal contractors
   - 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

   PII Collected: Name, SSN or DoD ID of individual submitting the documents and Name and SSN of record owner.

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.

   ESUB is a BOL based application with access controlled through the SAAR-N process. This application allows select personnel, such as Personnel Specialists and Personnel Support Detachments, to electronically submit documents to be ingested in service members' Official Military Personnel Files (OMPF) which is maintained in the Electronic Military Personnel Records System (EMPRS). ESUB takes uploaded documents from EMPRS, attaches servicemember metadata such as social security number and form ID, and then submits the form into the EMPRS validation system (via Kofax). E-SUB then removes the form from its local database.

   Verification, Authentication, Data Matching

   E-SUB does not collect any information from the individual.

   f. 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.

   ESUB does not collect any information from the individual.

   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

   ESUB does not collect any information from the individual.
h. With whom will the PII be shared through data exchange, both within your DoD Component and outside your Component? (Check all that apply)

- [x] Within the DoD Component
  - Specify. Navy personnel offices who submit the documents and clerks and agents that receive the documents at Navy Personnel Command.

- [ ] Other DoD Components
  - Specify.

- [ ] Other Federal Agencies
  - Specify.

- [ ] State and Local Agencies
  - Specify.

- [x] 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 Notice, 52.224-2, Privacy Act, and FAR 39.105 are included in the contract.)
  - Specify. ESUB is hosted behind BUPERS Online (BOL). There are four vendors that support this application (Aries, SAIC, Capstone and Booz-Allen Hamilton). It has been verified that all required FAR clauses and DFAR language has been added to the contracts.

- [ ] 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)

- [ ] Individuals
- [ ] Databases
- [x] Existing DoD Information Systems
- [ ] Commercial Systems
- [ ] Other Federal Information Systems
- [ ] Documents are uploaded into the ESUB application by authorized personnel from EMPRS.

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

- [ ] E-mail
- [ ] Official Form (Enter Form Number(s) in the box below)
- [ ] Face-to-Face Contact
- [ ] Paper
- [ ] Fax
- [ ] Telephone Interview
- [x] Information Sharing - System to System
- [ ] Website/E-Form
- [ ] Other (If Other, enter the information in the box below)

Documents are loaded into the ESUB application by authorized personnel from EMPRS.

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.

- [x] Yes
- [ ] No

If "Yes," enter SORN System Identifier N01070-3

SORN Identifier, not the Federal Register (FR) Citation. Consult the DoD Component Privacy Office for additional information or http://dpcld.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.

l. 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.

- NA

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

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PREVIOUS EDITION IS OBSOLETE.
(3) Retention Instructions.

E-Sub does not store records.

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.

SORN N01070-3, Navy Military Personnel Records System (April 15, 2010, 75 FR 19627), authorities:

10 U.S.C. 5013, Secretary of the Navy; 42 U.S.C. 10606 as implemented by DoD Instruction 1030.1, Victim and Witness Assistance Procedures; 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 [x] 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.

E-Sub does not collect information from members of the public.