

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:

Enterprise Safety Applications Management System (ESAMS)

2. DOD COMPONENT NAME:

Department of Defense Inspector General

3. PIA APPROVAL DATE:

08/05/24

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.)

- | | |
|---|--|
| <input type="checkbox"/> From members of the general public | <input type="checkbox"/> From Federal employees |
| <input checked="" type="checkbox"/> from both members of the general public and Federal employees | <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.

The Enterprise Safety Application Management System (ESAMS) is a cloud-based application which provides a mechanism for personnel, supervisors, and component coordinators and administrators to track information that supports compliance of the DoD OIG's Safety and Occupational Health (SOH) program. ESAMS maintains a centralized collection of data with a core repository of information utilizing integrated applications and standardized responses for data accountability and evaluation. ESAMS is used to track information that supports compliance for:

- Workplace or building inspections (occupational, traffic, recreational off-duty, explosive, radiation, fire, environmental, and any other inspection or Command or department-level self-assessment under the SOH program)
- External agency inspections related to occupational safety, emergency management, fire, security, etc.
- Deficiency tracking (such as workplace, building, process, etc.)
- Occupational injuries or illnesses
- Property damage related mishaps
- Near miss incidents and job hazard analysis
- Lessons learned and corrective action tracking
- Associated training with assigned duties and tasks - computer-based-training, classroom, on-the-job, and formal, to include training schedule and external enrollment in training, training on fire and emergency services, security, environmental, and emergency management, and DoD-sponsored traffic training
- Area hazard tracking (such as confined spaces, noise hazard level, sight hazards, etc.) and associated inspections, maintenance, and testing
- Fire incident reporting
- Unsafe/unhealthful reporting and administration
- Respirator fit-testing and management
- Personnel surveys and listings
- Occupational medical surveillance information
- Certifications in the areas of occupational, traffic, and recreational safety

For Military personnel only, ESAMS will track:

- Off-duty injuries
- Required training for the use of motorcycles on or off-base.

If and when necessary, the DoD OIG will use ESAMS to track information that supports compliance for:

- SF-91, Motor Vehicle Accident Report, reporting and tracking
- Equipment tracking and associated allocations, inspections, maintenance, and testing
- Small arms weapons qualification training and tracking

Personal information collected includes: Name, DoD ID Number, Gender, Date of Birth, and Employment Information, which includes, grade/rank, series/specialty, official duty address, work email address, and official duty telephone number.

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)

The DoD ID number is captured to identify and authenticate users. PII is captured and stored to document information in the occupational safety and health record. ESAMS is a data management system used to record, monitor, assess, and measure safety, fire and emergency services, emergency management, and force protection program components to comply with Federal and DoD regulations. Program components include, but are not limited to, training, workplace inspections, job hazard analyses, employee reports of unsafe or unhealthful working conditions, hazard abatement, respiratory protection program, mishap investigation, reporting, record keeping, medical surveillance, fire incident reports, and facility information.

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.

Employee name, DoD ID number, and in some instances, the date of birth, are loaded into ESAMS for mandatory reporting and tracking requirements. Collection of PII thereafter, is voluntary.

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.

At minimum, name, DoD ID number, and in some instances, the date of birth, are needed to complete mandatory reporting and tracking requirements.

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

ESAMS is intended for communication, transmission, processing, tracking, and storage of SOH program records. PII may be disclosed or used for any authorized purpose listed in the following privacy act statement.

AUTHORITY: 5 U.S.C. 41, Government Employees Training Act of 1958; E.O. 12196, Occupational Safety and Health Programs for Federal Employees; DoD Instructions 6055.01, DoD Safety and Occupational Health (SOH) Program and 6055.7, Mishap Notification, Investigation, Reporting, and Record Keeping; and IG Instruction 6055.1, Safety and Occupational Health Program.

PURPOSE: Information is captured to document information used in the occupational safety and health record.

ROUTINE USES: In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act of 1974, records may specifically be disclosed outside the DoD as a routine use for any reason listed in the System of Records Notices DoD-0012, DoD Personnel Accountability and Assessment System, from the Office of the Secretary, published in the Federal Register 87 FR 241 and OPM/GOVT-10, Employee Medical File System Records, from the Office of Personnel Management, published in the Federal Register 75 FR 118.

DISCLOSURE: Voluntary. However, failure to provide the requested information may impede a safety investigation or mandatory reporting requirements.

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. | OIG employees with a need-to-know. |
| <input type="checkbox"/> Other DoD Components (i.e. Army, Navy, Air Force) | Specify. | |
| <input checked="" type="checkbox"/> Other Federal Agencies (i.e. Veteran's Affairs, Energy, State) | Specify. | OSHA. |
| <input type="checkbox"/> State and Local Agencies | Specify. | |
| <input checked="" 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. | The contract with HGW and Associates, LLC, includes FAR Privacy Clauses 52.224-3 and 52-239-1. |
| <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 checked="" 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 | |

Name, DoD ID number, and date of birth provided by Human Capital Management to establish user accounts.

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

- | | |
|--|---|
| <input checked="" type="checkbox"/> E-mail | <input checked="" 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 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) | |

Incident data may be received via email and transferred to the contractor via DoD SAFE or attached into ESAMS. Incident data may also be collected by IG Forms 6055.1-2, Supervisor's Incident/Mishap Report and 6055.1-3, Hazard Report.

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

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.

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.

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

(3) Retention Instructions.

0002 – Occupational injury and illness program records; Destroy when 6 years old. 0003 – Occupational health and safety training records; Destroy 5 years after training participation or when superseded, whichever is applicable. 0004 – Workplace environmental monitoring and exposure records; Destroy no sooner than 30 years after monitoring is conducted. 0005; Destroy no sooner than 2 years after monitoring is conducted. 0007; Destroy no sooner than 40 years after monitoring is conducted. 0008 – Safety Data Sheets; Destroy when business use ceases. 0009 – Occupational individual medical case files; Destroy 30 years after employee separation or when OPF is destroyed, whichever is longer. 0010; Destroy 1 year after employee separation or transfer. 0011; Destroy 60 years after retirement to the NARA records storage facility. GRS's 0002 thru 0007 are authorized longer retention if needed for business use.

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.

5 U.S.C. 41, Government Employees Training Act of 1958; E.O. 12196, Occupational Safety and Health Programs for Federal Employees; DoD Instructions 6055.01, DoD Safety and Occupational Health (SOH) Program and 6055.7, Mishap Notification, Investigation, Reporting, and Record Keeping; and IG Instruction 6055.1, Safety and Occupational Health Program.

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.

No OMB control number needed as no PII is collected from 10 or more members of the public in a 12-month period.