

COMPLIANCE REVIEW FOR DATA TRANSFER AND REQUEST
NAVPERS 5239/9 (Rev. 10-2018)

Supporting Directive BUPERSINST 5239.4

Adapted from The Privacy Act of 1974:

CRIMINAL PENALTIES

- (1) Any officer or employee of an agency, who by virtue of his employment or official position, has possession of, or access to, agency records which contain individually identifiable information the disclosure of which is prohibited by The Privacy Act of 1974 or by rules or regulations established thereunder, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.
- (2) Any officer or employee of any agency who willfully maintains a system of records without meeting the system of records notice requirements shall be guilty of a misdemeanor and fined not more than \$5,000.
- (3) Any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than \$5,000.

Date of Request: _____ **EIM-SR #:** _____

REQUESTOR INFORMATION

1. Name:	2. Phone Number:	3. Command:
4. E-mail Address:		
5. Receiving System/Application Name:	6. Receiving System Acronym:	

TECHNICAL MANAGER INFORMATION

1. Name:	2. Phone Number:
3. E-mail Address:	

FUNCTIONAL PROGRAM MANAGER INFORMATION

1. Name:	2. Phone Number:
3. E-mail Address:	

SECURITY MANAGER INFORMATION

1. Name:	2. Phone Number:
3. E-mail Address:	

DATA TRANSFER AND REQUEST INFORMATION

1. What is the level of security of the receiving system/network this data will be stored on?
2. How will the data be transferred?
3. Service Affiliation:
4. Physical location of system?
5. Please provide the law, regulation, or policy that allows for the collection of Manpower, Personnel, Training, and Education (MPTE) data.

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DATA TRANSFER AND REQUEST INFORMATION (continued)

6. Will you be storing, collecting, using, or disseminating PII or other sensitive information as outlined in DoDI 8500.01?

7. Will all workforce be United States citizens? (Answer N/A if not requesting PII.)

8. Provide Privacy Impact Assessment (PIA) (if storing, collecting, using, or disseminating PII).

9. Provide the current System of Record Notice (SORN) number as outlined in the Federal Register (if storing, collecting, using, or disseminating PII).

10. What personnel category (categories) of data elements will you be requesting?

Accession Active Duty Civilian Retiree Reserve

11. Will this be an interface, one-time transfer, or periodic recurring transfer?

12. Periodic re-occurrence rate:

SYSTEM CATEGORY (Select One):

Required Information (Based on Selection):

Federal system external to Department of Defense (DoD) or external information systems outside of the Federal domain under contract with a Federal organization

Must send in a copy of accreditation letter (i.e. Authority to Operate (ATO)/Interim Authority to Operate (IATO))

Must send in a digitally signed Email or signed letter from the Information Assurance Manager (IAM) stating that Information Assurance (IA) workforce operating the system is compliant with Homeland Security Presidential Directive 12.

Other DoD system (e.g. Army, Air Force and fourth estate organizations)

Must send in a copy of accreditation letter (ATO, IATO)

Must send in a digitally signed Email or signed letter from the IAM, stating that Cyberspace workforce operating the system is compliant with DoDD 8140.01 training requirement.

Marine Corps System

Must send in a copy of accreditation letter (ATO, IATO)

Must send in a digitally signed Email or signed letter from the IAM, stating that Cyberspace workforce operating the system is compliant with DoDD 8140.01 training requirement.

DITPR-DON ID: _____

DADMS ID: _____

Navy System

Must send in a digitally signed Email or signed letter from the IAM, stating that Cyberspace workforce operating the system is compliant with DoDD 8140.01 training requirement.

EMASS NUMBER: _____

DITPR-DON ID: _____

DADMS ID: _____

INTERFACE REQUIREMENTS

Additional Documentation Required for System Interfaces

Provide DoDAF SV-1 (Systems Interface Description) Provide DoDAF SV-6 (Systems Resource Flow Matrix; detailing data that is requested from MPTE information system)

Additional Documentation Required for One-Time Data Transfers

Requested data elements provided as an attachment.

Work Request

Request Type:

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FOR INTERNAL USE ONLY

Requirement Met? Comments:

DITPR-DON/DADMS Registration
(as applicable) _____

Architectural Documentation
(as applicable) _____

ATO/IATO Letter
(as applicable) _____

Cyberspace workforce documentation
(as applicable) _____

PIA (if required) _____

SORN (if required) _____

IRB (Institutional Review Board)/HRPO
(Human Research Protection Office) _____

EIM Reviewing Official Recommendation

Recommended

Not Recommended

Additional Comments:

Source System:

EIM Reviewing Official Name

EIM Reviewing Official Signature:

Date:

IAM Reviewing Official Recommendation

Recommended

Not Recommended

Additional Comments:

IAM Reviewing Official Name

IAM Reviewing Official Signature:

Date:

Chief Data Steward Recommendation

Recommended

Not Recommended

Additional Comments:

Chief Data Steward Name

Chief Data Steward Signature:

Date:

System Manager Approval

Approved

Deny

Additional Comments:

System Manager Name

System Manager Signature:

Date: