PRIVACY IMPACT ASSESSMENT (PIA)

For the

BUPERS_N68221_NPRST_U (NPRST)
Department of the Navy - BUPERS

SECTION 1: IS A PIA REQUIRED?

a. Will this Department of Defense (DoD) information system or electronic collection of information (referred to as an "electronic collection" for the purpose of this form) collect, maintain, use, and/or disseminate PII about members of the public, Federal personnel, contractors or foreign nationals employed at U.S. military facilities internationally? Choose one option from the choices below. (Choose (3) for foreign nationals).

☐ (1) Yes, from members of the general public.

☐ (2) Yes, from Federal personnel* and/or Federal contractors.

☒ (3) Yes, from both members of the general public and Federal personnel and/or Federal contractors.

☐ (4) No

* "Federal personnel" are referred to in the DoD IT Portfolio Repository (DITPR) as "Federal employees."

b. If "No," ensure that DITPR or the authoritative database that updates DITPR is annotated for the reason(s) why a PIA is not required. If the DoD information system or electronic collection is not in DITPR, ensure that the reason(s) are recorded in appropriate documentation.

c. If "Yes," then a PIA is required. Proceed to Section 2.

SECTION 2: PIA SUMMARY INFORMATION

a. Why is this PIA being created or updated? Choose one:

☐	**New DoD Information System**	☐	**New Electronic Collection**
☒	**Existing DoD Information System**	☐	**Existing Electronic Collection**
☐	**Significantly Modified DoD Information System**		

b. Is this DoD information system registered in the DITPR or the DoD Secret Internet Protocol Router Network (SIPRNET) IT Registry?

☒	**Yes, DITPR**	Enter DITPR System Identification Number	DADMS NETWORK ID: 16
☐	**Yes, SIPRNET**	Enter SIPRNET Identification Number	
☐	**No**		

c. Does this DoD information system have an IT investment Unique Project Identifier (UPI), required by section 53 of Office of Management and Budget (OMB) Circular A-11?

☒ **Yes** ☐ **No**

If "Yes," enter UPI UII: 007-000002738

If unsure, consult the Component IT Budget Point of Contact to obtain the UPI.

d. 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 should be consistent.

☒ **Yes** ☐ **No**

If "Yes," enter Privacy Act SORN Identifier

DoD Component-assigned designator, not the Federal Register number.
Consult the Component Privacy Office for additional information or
access DoD Privacy Act SORNs at: http://www.defenselink.mil/privacy/notices/

or

Date of submission for approval to Defense Privacy Office
Consult the Component Privacy Office for this date. 20160921; N05300-4 (altered to NM03900-1)

e. Does this DoD information system or electronic collection have an 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**

Enter OMB Control Number

Enter Expiration Date

☒ **No**

f. Authority to collect information. A Federal law, Executive Order of the President (EO), or DoD requirement must authorize the collection and maintenance of a system of records.

(1) If this system has a Privacy Act SORN, the authorities in this PIA and the existing Privacy Act SORN should be the same.

(2) 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) Whenever possible, cite the specific provisions of the statute and/or EO that authorizes the operation of the system and the collection of PII.

(b) If a specific statute or EO does not exist, determine if an indirect statutory authority can be cited. An indirect 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) 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 should be identified.

SORN authorities:

5 U.S.C. 301, Departmental Regulations;
10 U.S.C. 5013, Secretary of the Navy;
10 U.S.C. 5041, Headquarters, Marine Corps;
E.O. 9397 (SSN), as amended.

g. Summary of DoD information system or electronic collection. Answers to these questions should be consistent with security guidelines for release of information to the public.

(1) Describe the purpose of this DoD information system or electronic collection and briefly describe the types of personal information about individuals collected in the system.

NPRST researchers and scientists perform quantitative analysis, longitudinal studies, temporal research and various data-mining tasks and techniques in order to provide Navy leadership knowledge discovery across a broad range of Navy Manpower and Personnel disciplines and objectives. Data used for these analyses is a locally manufactured dataset based strictly on data elements required for these analyses and not the original, aggregate dataset. Any personally identifiable information which existed in its original form, is de-identified through obfuscation (e.g. one-way hash) or replaced using authorized methodology (e.g. replacement of SSN with DoD ID number) prior to being turned over to researchers/scientists.

NPRST_U is a legacy system that collects and maintains Navy corporate data obtained via inter-agency agreement governed by Echelon II Enterprise Information Management Board, through system-to-system transfers, and acquired directly from human respondents via surveys. The following existing DoD IT system (s) are sources of PII used in this system (Officer Personnel Information Systems (OPINS), Navy Enlisted System (NES), Interactive Manpower and Personnel Management Information System (IMAPMIS), Total Force Manpower Management System (TFMMS), Corporate Enterprise Training Activity Resource System (CeTARS), Navy and Marine Corps Billet Data, and Defense Manpower Data Center Civilian Data).

PII collected: Name, other names used, SSN (full and truncated), other ID Number (DoD ID number), citizenship, gender, race/ethnicity, birth date, place of birth, personal cell telephone number, home telephone number, personal email address, mailing/home address, religious preference, marital status, Spouse Information: General demographic information pertaining to a spouse, including military personnel class, branch of service, and duty affiliation; Education information: education level, school/university name, school/ university duration, service school duration, date of completion, and results of the Armed Services Vocational Aptitude Battery (ASVAB) exam; Military Records: General information regarding military records, including security clearance information, officer designator, date of rank, waivers, separation codes, and enlisted rate and rank.

(2) Briefly describe the privacy risks associated with the PII collected and how these risks are addressed to safeguard privacy.

Data extracts contain PII. Privacy risks mitigated by (1) aggregate access to this data available to two federal database administrators via PKI/CAC only. (2) Transport mechanism from data owners performed in accordance with applicable IA procedures/processes (MOU/MOA/ICD/encrypted transmission). (3) Data required for research is de-identified, obfuscated, or any traces of PII are removed prior to issuing to researchers and scientific staff. (4) Internal request for data are governed by a rigorous approval process.

h. With whom will the PII be shared through data exchange, both within your DoD Component and outside your Component (e.g., other DoD Components, Federal Agencies)? Indicate all that apply.

☒ **Within the DoD Component.**

Specify. The system/database administrators, as part of the IA workforce, ensure PII is de-identified prior to usage by researchers or scientists.

☐ **Other DoD Components.**

Specify.

☐ **Other Federal Agencies.**

Specify.

☐ **State and Local Agencies.**

Specify.

☐ **Contractor** (Enter name and describe the language in the contract that safeguards PII.)

Specify.

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

Specify.

i. Do individuals have the opportunity to object to the collection of their PII?

☒ **Yes** ☐ **No**

(1) If "Yes," describe method by which individuals can object to the collection of PII.

Individuals may willingly decide not to participate in surveys being conducted by NPRST. They are free to stop the survey and skip questions at any time.

(2) If "No," state the reason why individuals cannot object.

j. 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.

Yes, there is informed consent page displayed via the web prior to the survey. If the individual doesn't consent they do not move forward with the survey.

(2) If "No," state the reason why individuals cannot give or withhold their consent.

k. What information is provided to an individual when asked to provide PII data? Indicate all that apply.

☒	**Privacy Act Statement**	☐	**Privacy Advisory**
☐	**Other**	☐	**None**

Describe each applicable format.

Privacy Act Statement via the web server. (web page displaying the Privacy Act in detail)

NOTE:

Sections 1 and 2 above are to be posted to the Component's Web site. Posting of these Sections indicates that the PIA has been reviewed to ensure that appropriate safeguards are in place to protect privacy.

A Component may restrict the publication of Sections 1 and/or 2 if they contain information that would reveal sensitive information or raise security concerns.