

## 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:**

Naval Audit Service Information Management System (NASIMS) V2

**2. DOD COMPONENT NAME:**

Department of the Navy

**3. PIA APPROVAL DATE:**

04/08/20

DALO - NAVAUDSVC

### 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 Federal employees and/or Federal contractors  
 From both members of the general public and 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

**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.**

NASIMS V2 is a web-based query and reporting application which serves the Naval Audit Service. NASIMS V2 tracks and manages information used to manage and produce corporate metrics. It is an integrated corporate management system linking all functions of the Naval Audit Service, which will increase the effectiveness and efficiency of the overall organizational management. NASIMS V2 provides internal controls over management requirements by creating workflows that integrate all functions of the audit service when specific actions take place.

NASIMS V2 information is used to maximize staff resources and to provide project cost summary data; to track audit milestones and staff hours allocated towards project preparation and active projects which will allow for more effective scheduling of unassigned personnel and to categorize indirect time expended for end-of-year reporting; to plan workloads; and to request, schedule, and track auditor training requirements established by the Generally Accepted Government Auditing Standards.

Personal information collected: Name, other names used (nickname), other ID number (DoD ID Number), gender, race/ethnicity, employment information (entered on duty date, position, directorate, division, team, pay grade, series, location, room, work cell phone number, work e-mail address, work phone number), other: photograph.

**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 PII collected is used for authentication, verification, identification, and mission-related use.

**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.

Individuals can object to the collection of PII by declining to provide the information. However, failure to provide or update information may require manual HR processing or HR entering information from another authorized System of Record on behalf of the Naval Audit Service workforce member. All requested data (i.e., entered on duty date) is available from other authorized Systems of Records. Additionally, failure by any Naval Audit Service workforce member to either provide or verify the accuracy of NASIMS V2 data would hinder HR from effectively managing/accounting for personnel properly or other work.

**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.

Collected data is utilized for mission essential reporting; PII is collected and maintained for the purpose of effectively and efficiently managing the personnel and administrative functions of the agency. Consent is assumed once information is provided by 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

NASIMS V2 login page contains a Privacy Act Statement that informs the user of the authority, purpose, routine uses for the collection of PII and a disclosure statement regarding the collection mandate status and possible consequences of non provision. Further, every web page displaying the PII collected actively displays the following Privacy Banner: This system contains privacy sensitive information that requires protection for unauthorized disclosure. Do not disseminate information from this system to anyone who does not have an official need for access.

The Privacy Act Statement reads:

**PRIVACY ACT STATEMENT**

Authority: 10 U.S.C. 136, Under Secretary of Defense for Personnel and Readiness; 10 U.S.C. 5013, Department of the Navy; 10 U.S.C. 5014, Office of the Secretary of the Navy; 10 U.S.C. 5041, Headquarters, Marine Corps; 5 U.S.C. 301, Departmental Regulations; DoD Directive 8320.1, DoD Data Administration; DoD Manual 7600.7-M, DoD Audit Manual; and SECNAVINST 7510.7G CH-1, Department of the Navy Internal Audit.

Purpose: To collect personal and work-related information necessary to manage, supervise, and administer all aspects of the Naval Audit Service and contact members of the workforce.

Routine Uses: The "Blanket Routine Uses" set forth at the beginning of the Department of the Navy's compilation of record system notices apply to this system of records. Additionally, to assist Naval Audit Service personnel on such matters as, but not limited to, preparing recall rosters and locators; maintaining accurate phone directories and manpower documents; training the workforce; identifying routine and special work assignments; assisting in manpower research studies; controlling the budget, travel expenditures, manpower, and grades; maintaining statistics for employment; projection of retirement losses; labor costing; tracking and reporting training requirements; and similar administrative uses requiring personnel data. Any disclosures would be For Official Use Only as information is "closehold" and shared with only those with an official "need-to-know". Some data, such as work location, communications and functional areas are generally available to the entire Naval Audit Service workforce. Access to remaining data is restricted to tiers of civilian supervisors ranging from immediate supervisors, Project Managers, to Audit Directors and Assistant Auditor Generals and their immediate staff. Administrative personnel will have access for purposes of maintaining the NASIMS V2 database.

Disclosure: Voluntary. However, failure to provide or update information may require manual HR processing or HR entering information from another authorized System of Record on behalf of the Naval Audit Service workforce member. All requested data (e.g., entered on duty date and security clearance) is available from other authorized Systems of Records. Additionally, failure by any Naval Audit Service workforce member to either provide or verify the accuracy of NASIMS V2 data would hinder HR from effectively managing/accounting for personnel properly or other work.

**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.
- Other DoD Components      Specify.
- Other Federal Agencies      Specify.
- State and Local Agencies      Specify.
- 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.
- 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
- Existing DoD Information Systems       Commercial Systems
- Other Federal Information Systems

Individual and verified by existing DoD information systems. However, if the individual declines to provide the information the Naval Audit Service HR staff may enter the information from another authorized System of Record on behalf of the Naval Audit Service employee.

**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 checked="" type="checkbox"/> Website/E-Form                             |
| <input type="checkbox"/> Other (If Other, enter the information in the box below) |  |

The information will be exclusively collected and input through various electronic web forms in NASIMS V2.

**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.

Temporary. Destroy 2 years after completion of audit or closure of financial statement / accounting treatment / issue, but longer retention is authorized if required for business use. Disposition Authority: DAA-GRS-2013-0003-0011

**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 N07510-1, Naval Audit Service Information Management System (NASIMS) (April 05, 2011, 76 FR 18738), authorities: 10 U.S.C. 136, Under Secretary of Defense for Personnel and Readiness; 10 U.S.C. 5013, Department of the Navy; 10 U.S.C. 5014, Office of the Secretary of the Navy; 10 U.S.C. 5041, Headquarters, Marine Corps; 5 U.S.C. 301, Departmental Regulations; DoD Directive 8320.1, DoD Data Administration; DoD Manual 7600.7-M, DoD Audit Manual; SECNAVINST 7510.7F, Department of the Navy Internal Audit

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     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 approval is not required as the component does not collect information from members of the public.