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:

System Metric and Reporting Tool (SMART)/Acquisition App Store (AAS)

2. DOD COMPONENT NAME:

United States Air Force

3. PIA APPROVAL DATE:

Acquisition Domain

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.)*

- ☐ From members of the general public
- ☐ From Federal employees
- ☐ from both members of the general public and Federal employees
- ☒ 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.

SMART/AAS is a collaborative web-based tool used to:
(1) Standardize command and control of program information across the Air Force;
(2) Enable program managers to simplify management of acquisition programs;
(3) Allow program managers and staff to accurately and efficiently assess the health of their programs and provide standardized reporting packages to senior leaders within United States Air Force (USAF) and Office of the Secretary of Defense (OSD);
(4) Provide senior leaders with the ability to quickly and uniformly view program health either by individual program or across a portfolio of programs and ensure they can make well-informed decisions to deliver program capabilities to the warfighter;
(5) Provide Scientific and Technical Information, certification, and training.

The "Rolodex" PII used by SMART/AAS consists of Name, Official Duty Address, Work E-mail Address, Official Duty Telephone Number, Position/Title, Rank/Grade, and DoD ID Number (EDIPI).

Personnel data from the System Authorization Access Request (SAAR) and the Electronic Data Interchange Personal Identifier (EDIPI) from the DoD Common Access Card (CAC) provide PII to SMART/AAS used to support various mission entities that assist the Acquisition community customers in tracking their operational assets, providing mission capability of those assets, providing trend analysis data (via Support Assessment Model (SAM), Risk Management (via Enterprise Risk Management Service (ERMS), and Technical Support Requests. The Scientific and Technical Information (STINFO) tool provides training, assessment, assessment tracking and management, and reference tools to the AF workforce concerned with the identification, handling, marking, etc. of scientific and technical information.

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)*

"Rolodex" PII is used to identify key personnel positions within the acquisition programs, system authentication for access control, role assignments and permissions within the services. The official email address is used for potential application notifications.

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.

Users provide their own profile information to gain access to SMART/AAS when completing the WASP SAAR process. Individuals declining to enter the required data are denied access to SMART/AAS and the acquisition data.

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.

The PII captured and used by SMART/AAS is acquired by interfacing with other acquisition Information Technology (IT) Systems.

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

SMART/AAS does not display a Privacy Act Statement or a Privacy Advisory.

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)*

☒ Within the DoD Component	Specify.	United States Air Force
☐ Other DoD Components *(i.e. Army, Navy, Air Force)*	Specify.	
☐ Other Federal Agencies *(i.e. Veteran's Affairs, Energy, State)*	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

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)*

☐ In-Person Contact ☐ Paper

☐ Fax ☐ Telephone Interview

☒ Information Sharing - System to System ☐ Website/E-Form

☒ Other *(If Other, enter the information in the box below)*

The individual provides their own personal information to gain access to the system.
Security authentication for logging into the system is based on PKI certificates.

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://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.

The "Rolodex" PII collected is used solely for authentication to facilitate system access and assigning roles to user accounts in the Role

Based Access Control (RBAC) system for assigning appropriate user permissions to appropriate entity resources within SMART/AAS. There is no personnel record created for retrieval and User accounts are deleted when system access is no longer required.

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.

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 statue 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.

10-USC 9013, Secretary of the Air Force; Air Force Instruction (AFI) 63-101/20-101, Integrated Life Cycle Management

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.

IAW DoDM 8910.01 V2 Sec. 8. EXEMPTIONS AND ITEMS NOT CONSIDERED PUBLIC INFORMATION COLLECTIONS: Including but not limited to collections of information from within the scope of their employment (includes all the tasks performed to accomplish the job they perform for the OSD or DoD Component), unless the results are to be used for general statistical purposes.

SECTION 2: PII RISK REVIEW

a. What PII will be collected *(a data element alone or in combination that can uniquely identify an individual)***?** *(Check all that apply)*

☐ Biometrics	☐ Birth Date	☐ Child Information
☐ Citizenship	☐ Disability Information	☒ DoD ID Number
☐ Driver's License	☐ Education Information	☐ Emergency Contact
☐ Employment Information	☐ Financial Information	☐ Gender/Gender Identification
☐ Home/Cell Phone	☐ Law Enforcement Information	☐ Legal Status
☐ Mailing/Home Address	☐ Marital Status	☐ Medical Information
☐ Military Records	☐ Mother's Middle/Maiden Name	☒ Name(s)
☒ Official Duty Address	☒ Official Duty Telephone Phone	☐ Other ID Number
☐ Passport Information	☐ Personal E-mail Address	☐ Photo
☐ Place of Birth	☒ Position/Title	☐ Protected Health Information (PHI)[1]
☐ Race/Ethnicity	☒ Rank/Grade	☐ Religious Preference
☐ Records	☐ Security Information	☐ Social Security Number (SSN) *(Full or in any form)*
☒ Work E-mail Address	☐ If Other, enter the information in the box below	

If the SSN is collected, complete the following questions.

(*DoD Instruction 1000.30 states that all DoD personnel shall reduce or eliminate the use of SSNs wherever possible. SSNs shall not be used in spreadsheets, hard copy lists, electronic reports, or collected in surveys unless they meet one or more of the acceptable use criteria.)*

(1) Is there a current DPCLTD approved SSN Justification on Memo in place?

☐ Yes ☐ No

If "Yes," provide the signatory and date approval. If "No," explain why there is no SSN Justification Memo.

(2) Describe the approved acceptable use in accordance with DoD Instruction 1000.30 "Reduction of Social Security Number (SSN) Use within DoD".

(3) Describe the mitigation efforts to reduce the use including visibility and printing of SSN in accordance with DoD Instructoin 1000.30, "Reduction of Social Security Number (SSN) Use within DoD".

(4) Has a plan to eliminate the use of the SSN or mitigate its use and or visibility been identified in the approved SSN Justification request?

If "Yes," provide the unique identifier and when can it be eliminated?
If "No," explain.

☐ Yes ☐ No

b. What is the PII confidentiality impact level[2]? ☐ Low ☐ Moderate ☐ High

[1]The definition of PHI involves evaluating conditions listed in the HIPAA. Consult with General Counsel to make this determination.

[2]Guidance on determining the PII confidentiality impact level, see Section 2.5 "Categorization of PII Using NIST SP 800-122." Use the identified PII confidentiality impact level to apply the appropriate Privacy Overlay low, moderate, or high. This activity may be conducted as part of the categorization exercise that occurs under the Risk Management Framework (RMF). Note that categorization under the RMF is typically conducted using the information types described in NIST Special Publication (SP) 800-60, which are not as granular as the PII data elements listed in the PIA table. Determining the PII confidentiality impact level is most effective when done in collaboration with the Information Owner, Information System Owner, Information System Security Manager, and representatives from the security and privacy organizations, such as the Information System Security Officer (ISSO) and Senior Component Official for Privacy (SCOP) or designees.

NOTE: Sections 1 above is 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 if they contain information that would reveal sensitive information or raise security concerns.