

## 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:**

Washington Headquarters Services DefenseReady System

**2. DOD COMPONENT NAME:**

Washington Headquarters Service

**3. PIA APPROVAL DATE:**

02/17/22

Human Resources Directorate (HRD)

### 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.**

Defense Ready (DR) is an enterprise personnel management system enabling streamlined human resources procedures with increased transparency, process integration, and accountability. DR provides tracking and reporting capabilities to the Office of the Secretary of Defense (OSD)/Washington Headquarters Services (WHS), the WHS-serviced Component workforce and Federal entities.

DR tracks, manages, and maintains various Human Resource (HR) processes including security files, military awards, civilian benefit records and queries, metrics, on-boarding data, hiring actions, and billets. For personnel security, DR tracks in-processing personnel security and adjudication requirements, clearance appeals, and security files. For military members, DR tracks OSD badges, billets, and military awards. DR tracks and manages requests for reasonable accommodations for employees of and applications for employment with WHS and WHS-serviced components with known physical and mental impairments. DR tracks and manages civilian benefit records, workload of benefits employees, and metrics. Records are also used as a management tool for statistical analysis, reporting, evaluating program effectiveness, and conducting research.

The types of personal information about individuals collected and managed in DR include the following: Name, DoD identification number, citizenship, employment information, social security number, military records (branch of service, rank), place of birth, race/ethnicity, personnel records, security information (clearance appeals, security files, security clearance status, position sensitivity, security access status), work email address, date of birth, law enforcement information, official duty telephone number, position information (title, rank, grade), gender/gender identification, DoD affiliation, reasonable accommodation information (type of accommodation, medical documentation).

**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)

HR Tool used for collecting HR and security related information required to support the internal and external WHS customers. This is used for data matching and identification

**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.

This system contains aggregated data from other systems. This system information is used to support internal and external customers. The information is aggregated and pulled from service systems and imported into WHS DefenseReady for display and manipulation in the system for reports. If the individual were to object to the release of PII information, that member cannot be considered for employment and therefore would not be hired by WHS.

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 information is aggregated and pulled from service systems and imported into WHS DefenseReady for display and manipulation in the system for reports. If the individual were to object to the release of PII information, that member cannot be considered for employment and therefore would not be hired by WHS.

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

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

10 U.S.C. Chapter 113, Secretary of Defense; 10 U.S.C. 1125, Recognition for Accomplishment: Award of trophies, Volumes 1-4; 29 U.S.C. 791, Employment of individuals with disabilities; 29 CFR Part 1630, Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act; 42 U.S.C. Chapter 126, Equal Opportunity for Individuals with Disabilities; E.O. 10450, Security Requirements for Government Employment; E.O. 10865, Safeguarding Classified Information Within Industry; E.O. 13163, Increasing the Opportunities for Individuals with Disabilities to be Employed in the Federal Government; E.O. 13164, Requiring Federal Agencies to Establish Procedures to Facilitate the Provision of Reasonable Accommodation; DoD Directive 1020.1, Nondiscrimination on the Basis of Handicap in Programs and Activities Assisted or Conducted by the Department of Defense; DoD Directive 5110.04, Washington Headquarters Services (WHS); DoDI 1400.25-Volume 451, DoD Civilian Personnel Management System, Awards; DoDI 5200.2, DoD Personnel Security Program; DoD 1348.33-M, Manual of Military Decorations and Award; DoD Manual 5200.2, Homeland Security Presidential Directive-12: Policy for a Common Identification Standard for Federal Employees and Contractors; Procedures for the DoD Personnel Security Program; Administrative Instruction (AI) 29, Incentive and Honorary Awards Programs; Administrative Instruction 114, Reasonable Accommodation Program for Individuals with Disabilities; and E.O. 9397 (SSN), as amended.

**PURPOSE(S):**

To provide human resource information and system support for the OSD/WHS civilian and military workforce; and to track the status of personnel actions, benefit queries, in-processing, out-processing, and military billets. This system will also manage civilian honorary and military award records along with tracking for the purpose of validation and analysis throughout the lifecycle. Records may also be used as a management tool for statistical analysis, reporting, evaluating program effectiveness, and conducting research.

**ROUTINE USE(S):** Information within this system may be subject to a number of proper and necessary routine uses identified in the system of records notice(s) specified in the purpose statement above. For additional information see the System of Records Notice(s) DWHS P51, WHS Defense Ready at: <https://dpcl.d.defense.gov/Privacy/SORNSIndex/DOD-wide-SORN-Article-View/Article/586220/dwhs-p51/>

**DISCLOSURE:** Voluntary; however, failure to provide information would result in the individual not being considered for employment and not hired.

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.

Washington Headquarters Services (WHS), internal users and Other DoD specific activities, including OSD administering WHS DefenseReady, and WHS personnel with a need for access.

Other DoD Components

Specify.

Other Federal Agencies

Specify.

House of Representatives, Senate, Capital Police, and U.S. Supreme Court

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)

- |  |   |
|--|---|
| <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           |   |

Please note: Information from other federal agencies, such as the Senate, is acquired via email in which a letter is sent to WHS personnel security containing security clearance information on the Senate employees. Therefore, information is not retrieved from other federal systems. Also, PII information is provided by internal and external customers, to include security managers and other HR professionals

**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 checked="" type="checkbox"/> Face-to-Face Contact                          | <input checked="" type="checkbox"/> Paper   |
| <input checked="" type="checkbox"/> Fax   | <input checked="" type="checkbox"/> Telephone Interview                                   |
| <input checked="" type="checkbox"/> Information Sharing - System to System        | <input type="checkbox"/> Website/E-Form   |
| <input type="checkbox"/> Other (If Other, enter the information in the box below) |   |

Security managers from other supported federal agencies (House of Representatives, Senate, Capital Police, and U.S. Supreme Court) send Security Clearance information for HRD employees in letter format (by email). Information includes PII listed in Section 2. SD 827, Confirmation of Request for Reasonable Accommodation; SF-85 Questionnaire for Non-Sensitive Positions; SF-86, Questionnaire for National Security Positions.

**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.

This system has multiple record dispositions (please refer to SORN - WHS DefenseReady, DWHS P51).

**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.

10 U.S.C. Chapter 113, Secretary of Defense; 10 U.S.C. 1125, Recognition for Accomplishment: Award of trophies, Volumes 1-4; 29 U.S.C. 791, Employment of individuals with disabilities; 29 CFR Part 1630, Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act; 42 U.S.C. Chapter 126, Equal Opportunity for Individuals with Disabilities; E.O. 10450, Security Requirements for Government Employment; E.O. 10865, Safeguarding Classified Information Within Industry; E.O. 13163, Increasing the Opportunities for Individuals with Disabilities to be Employed in the Federal Government; E.O. 13164, Requiring Federal Agencies to Establish Procedures to Facilitate the Provision of Reasonable Accommodation; DoD Directive 1020.1, Nondiscrimination on the Basis of Handicap in Programs and Activities Assisted or Conducted by the Department of Defense; DoD Directive 5110.04, Washington Headquarters Services (WHS); DoDI 1400.25-Volume 451, DoD Civilian Personnel Management System, Awards; DoDI 5200.2, DoD Personnel Security Program; DoD 1348.33-M, Manual of Military Decorations and Award; DoD Manual 5200.2, Homeland Security Presidential Directive-12: Policy for a Common Identification Standard for Federal Employees and Contractors; Procedures for the DoD Personnel Security Program; Administrative Instruction (AI) 29, Incentive and Honorary Awards Programs; Administrative Instruction 114, Reasonable Accommodation Program for Individuals with Disabilities; 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 information collection requirements:**

OMB collection required: Yes.

OMB Control Number (if approved): 0704-0498, 3206-0261, 3206-0005

Expiration Date (if approved): 8/31/2022, 9/30/2021, 11/30/2019

SD 827, Confirmation of Request for Reasonable Accommodation; SF-85 Questionnaire for Non-Sensitive Positions; SF-86, Questionnaire for national Security Positions. SF-86 is collected via e-QIP, Electronic Questionnaire for Investigations Processing.