

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:

Midshipmen Information System (MIDS)

2. DOD COMPONENT NAME:

Department of the Navy

3. PIA APPROVAL DATE:

02/09/22

United States Naval Academy (USNA)

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.

The USNA Midshipmen Information System (MIDS) encompasses all student information system capabilities common to an undergraduate higher education institution academic (e.g. course scheduling and registration, grades, etc) as well as unique military service academy student management needs (e.g. military movement orders, service assignment, conduct, personnel evaluations, etc). The personal information collected by the system facilitates administration of matriculated students. PII collected are name, other names used, Social Security Number (SSN), DoD ID Number, date of birth, place of birth, gender, race/ethnicity, citizenship, legal status, personal telephone number, personal email address, mailing/home address, religious preference, security clearance, mother's middle name, marital status, height and weight, emergency contact, military records, branch of service, rank, medical information (condition codes and waivers), disability information (type of disability), law enforcement information (police records, school probation periods), and education information (high school name and address, classes or courses taken, cumulative grade point average, class rank, type of diploma, year of high school graduation or expected graduation date, and transcripts). Midshipmen sponsor information is also stored in MIDS.

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)

PII is collected to verify, identify, authenticate, and/or data-match for student administration purposes.

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.

The PII collected is critical in ensuring student files are complete. Refusal to provide any/all of the mandatory PII will result in a delay or inability to process student administration records or participate in United States Naval Academy programs.

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.

Collection, use, and maintenance of the information provided is strictly constrained in its use to only fulfill academic, professional and administrative requirements. Consent assumed when applicant completes application (Privacy Act Statement provided), takes the Midshipman Oath of Office, and participates in Naval Academy programs.

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

Individuals are notified by an Agency Disclosure Notice and a Privacy Act Statement.

PRIVACY ACT STATEMENT (paper and electronic):

AUTHORITY: 10 U.S.C. § 503, Enlistments: recruiting campaigns; compilation of directory information; 10 U.S.C. § 2005, Advanced Education Assistance: Active Duty Agreement; Reimbursement Requirements; 10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 8454, Midshipmen: number; 10 U.S.C. 8456, Midshipmen: nomination and selection to fill vacancies; 10 U.S.C. 347, International engagement authorities for service academies; 10 U.S.C. 8458, Midshipmen: qualifications for admission; 10 U.S.C. 8459, Midshipmen: agreement for length of service; 10 U.S.C. 8461, Midshipmen: dismissal for best interests of the service; 10 U.S.C. 8462, Midshipmen: discharge for unsatisfactory conduct or inaptitude; 10 U.S.C. 8463, Midshipmen: discharge for deficiency; DoDI 1322.22, Service Academies; OPNAVINST 1531.6D, Nomination and Admission of Citizens of Foreign Countries to the U.S. Naval Academy; E.O. 9397 (SSN), as amended, and N01531-1.

PURPOSE: Applicant files contain information used for personal information verification and to evaluate/determine competitive standing and eligibility for appointments to the Naval Academy. Midshipmen records consist of academic, military, and physical records used to track each student's progress at the Naval Academy.

ROUTINE USES: Information will be used by the United States Naval Academy faculty and staff for executing all aspects of the mission of the Academy. Candidate information is shared with Blue and Gold Officers assisting with the admission process. Information may also be shared within the DoD pursuant to a valid need to know and outside the DoD pursuant to a routine use authorized by N01531-1.

DISCLOSURE: Voluntary; however, failure to provide the required information may result in a delay or inability to process the respondent's application or allow for the continued enrollment of a midshipman at the Naval Academy.

AGENCY DISCLOSURE NOTICE: The public reporting burden for this collection of information, 0703-0036, is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or burden reduction suggestions to the Department of Defense, Washington Headquarters Services, at whs.mc-alex.esd.mbx.dd-dod-information-collections@mail.mil. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

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)

- | | | |
|--|----------|--|
| <input checked="" type="checkbox"/> Within the DoD Component | Specify. | Designated Military, USNA Civilians, and USNA Contractors associated with USNA programs |
| <input checked="" type="checkbox"/> Other DoD Components (<i>i.e. Army, Navy, Air Force</i>) | Specify. | Navy, DoDMERB |
| <input type="checkbox"/> Other Federal Agencies (<i>i.e. Veteran's Affairs, Energy, State</i>) | Specify. | |
| <input checked="" type="checkbox"/> State and Local Agencies | Specify. | Congressional Staffs |
| <input checked="" type="checkbox"/> Contractor (<i>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.</i>) | Specify. | Contracted with The Coleman Group, Inc
The following FAR clauses are included contract N0018920F0877 and the Subcontractor Agreement by reference:
- 52.224-1, Privacy Act Notification
- 52.224-2, Privacy Act
- 52.224-3, Privacy Training
- 52.239-1, Privacy and Security Safeguards. |
| <input checked="" type="checkbox"/> Other (<i>e.g., commercial providers, colleges</i>). | Specify. | Commercial providers, U.S. and foreign colleges, foreign military host commands |

i. Source of the PII collected is: *(Check all that apply and list all information systems if applicable)*

- | | |
|--|--|
| <input checked="" type="checkbox"/> Individuals | <input checked="" type="checkbox"/> Databases |
| <input checked="" type="checkbox"/> Existing DoD Information Systems | <input checked="" type="checkbox"/> Commercial Systems |
| <input type="checkbox"/> Other Federal Information Systems | |

PII is directly input to the system from a variety of electronic and manual sources (e.g. DoD Medical Examination Review Board, Educational Testing Service, Secondary/Post-Secondary schools (various), Law Enforcement Agencies (various), Navy Schools Training Command (NSTC), Navy ROTC, Bank of America, etc.).

Data is stored in a single enterprise database encompassing the following information systems under ACADEMIC AND PROFESSIONALLY ACCREDITED ENTERPRISE EDUCATION ENCLAVE (AEEE) internally
Admissions Information System (AIS),
Blue and Gold Information System (BGIS),

Naval Academy Preparatory School Scholastic Tracking and Accountability System (NSTAR)

Other DoD IS:

DODMERB

NAVAL EDUCATION AND TRAINING FUTURE OFFICER AND CITIZENSHIP USER SYSTEM (NETFOCUS)

NAVY PERSONNEL AND PAY (NP2)

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

USNA 1531-3 (Candidate Application main web based), USNA forms 1110/7, 5500/1, 5710/2, 5710/1, 1110/21, 1110/22, 1110/5, 1110/4, 1531/11, 1531/12, and 1531-5.

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.

SORN N01531-X: draft submitted to DPCLTD covering midshipmen sponsor records. Date submitted May 14, 2021.

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.

Permanent Records: Cutoff upon class graduation. Transfer to approved local NARA affiliated archive when business use ceases.

Temporary Records: Destroy when business use ceases.

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 N01531-1, authorities: 10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 8454, Midshipmen: number; 10 U.S.C. 8456, Midshipmen: nomination and selection to fill vacancies; 10 U.S.C. 347, International engagement authorities for service academies; 10 U.S.C. 8458, Midshipmen: qualifications for admission; 10 U.S.C. 8459, Midshipmen: agreement for length of service; 10 U.S.C. 8461, Midshipmen:

dismissal for best interests of the service; 10 U.S.C. 8462, Midshipmen: discharge for unsatisfactory conduct or inaptitude; 10 U.S.C. 8463, Midshipmen: discharge for deficiency; DoDI 1322.22, Service Academies; OPNAVINST 1531.6D, Nomination and Admission of Citizens of Foreign Countries to the U.S. Naval Academy; E.O. 9397 (SSN), as amended, and N01531-1.

SORN OPM GOVT-1, General Personnel Records, December 11, 2012, 77 FR 79694; modification published November 30, 2015, 80 FR 74815, authorities: 5 U.S.C. 1302, 2951, 3301, 3372, 4118, 8347, and Executive Orders 9397, as amended by 13478, 9830, and 12107.

New SORN N01531-X: authorities: 10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 5041, Headquarters, Marine Corps; 10 U.S.C. 8458, Midshipmen: Qualifications for Admission; 10 U.S.C. §10141, Ready Reserve; Standby Reserve; Retired Reserve: placement and status of members; training categories; 10 USC 10212, Gratuitous services of officers: authority to accept; DoDI 1322.22, Service Academies; SECNAVINST 1650.1J, Department of the Navy Military Awards Policy; OPNAVINST 1531.2C, The Naval Academy Information Program (NAIP).

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 for Candidate Application and related forms Number 0703-0036 (expired pending renewal).
OMB for Sponsor Application Number 00703-0054 (exp 9/30/2022).