

## 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:**

Transportation Financial Management System (TFMS)

**2. DOD COMPONENT NAME:**

United States Transportation Command

**3. PIA APPROVAL DATE:**

### SECTION 1: PII DESCRIPTION SUMMARY (FOR PUBLIC RELEASE)

**a. The PII is:** (Check one. Note: foreign nationals are included in general public.)

- |   |   |
|---|---|
| <input type="checkbox"/> From members of the general public   | <input checked="" type="checkbox"/> From Federal employees and/or Federal contractors |
| <input type="checkbox"/> From both members of the general public and Federal employees and/or Federal contractors | <input type="checkbox"/> Not Collected (if checked proceed to Section 4)              |

**b. The PII is in a:** (Check one)

- |  |   |
|--|---|
| <input type="checkbox"/> New DoD Information System                    | <input type="checkbox"/> New Electronic Collection      |
| <input checked="" type="checkbox"/> Existing DoD Information System    | <input type="checkbox"/> Existing Electronic Collection |
| <input type="checkbox"/> 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.**

TFMS is the financial management system for the Military Surface Deployment and Distribution Command (SDDC). The system interfaces with other systems, such as payroll, travel, disbursing, and SDDC non-core accounting support systems. TFMS improved cash management and controls over assets, reduced the time required to obtain financial information. TFMS allows SDDC and Defense Finance and Accounting Service (DFAS) to track on a daily basis cash management, answer vendor payment issues, and address customer billing questions. PII collected includes Name, Social Security Number, Gender and Date of Birth.

**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 data on vouchers submitted for payment via interfacing systems i.e., Defense Civilian Payroll System (DCPS) and Defense Travel System (DTS) and compared against PII in TFMS to ensure payment accuracy of payroll and entitlements. PII is used in administrative functions to process payroll and entitlements.

**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.

TFMS Form 417 is used to gather PII for pay and entitlement. Individuals provide PII by completing this form. The Privacy Statement on the TFMS form 417 notifies the user that completion of the form constitutes consent, and withholding information will impact the ability of the organization to process the applicant's employment status and payment of payroll and entitlements.

The statement on the employment information (TFMS Form 417) reads as follows:

"Completion of this form constitutes consent to use of Privacy Information for payment of payroll and entitlements. Failure to provide this information will result in inability of the organization to process payment. This information is collected under the authority of DoD Financial Management Regulations and will be protected in compliance with the Privacy Act of 1974, as amended."

**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 purpose PII collection is for processing payroll and entitlements. TFMS Form 417 provides the following statement to the individual. "The information collected is used only for processing payroll and entitlements. Failure to provide the information, i.e., give consent, will result in an inability to process payment."

**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

TFMS provides a statement on the TFMS Form 417, which is used to collect PII for pay and entitlement as follows, "Completion of this form constitutes consent to use of Privacy Information for payment of payroll and entitlements. Failure to provide this information will result in inability of the organization to process payment. This information is collected under the authority of DoD Financial Management Regulations and will be protected in compliance with the Privacy Act of 1974, as amended."

A Privacy advisory is given each new employee during in-processing through the Civilian Personnel Advisory Center (CPAC), an Army System. The advisory is summarized as follows: Army Civilian Personnel On-Line (CPOL) is provided as a public service for Civilian Personnel Policy. Information presented is considered public information and collected for statistical purposes. For security purposes, this service remains available to all users, software programs monitor network traffic to identify unauthorized uploads, changes, or activities that would otherwise cause damage. Except for authorized investigations, no other attempts are made to identify individual users. Raw data logs are used for no other purposes and are scheduled for regular destruction in accordance with National Archives and Records Administration. (<http://acpol.army.mil/privacy.htm>)

All DFAS systems use the following notice: "Thank you for visiting the Defense Finance and Accounting Service website and reviewing our privacy policy. Our privacy policy is clear: we do not collect personal information unless provided by the customer we are seeking to assist. Immediately after resolving the customer's concerns, the privacy information is purged.

1. The DFAS public Web Site is provided as a public service.
2. Information presented on The DFAS public Web Site is considered public information and may be distributed or copied. Use of appropriate byline/photo/image credits is requested.
3. For site management, information is collected for statistical purposes. This government computer system uses software programs to create summary statistics, which are used for such purposes as assessing what information is of most and least interest, determining technical design specifications, and identifying system performance or problem areas.
4. For site security purposes and to ensure that this service remains available to all users, this government computer system employs software programs to monitor network traffic to identify unauthorized attempts to upload or change information, or otherwise cause damage.
5. Except for authorized law enforcement investigations, no other attempts are made to identify individual users or their usage habits. Raw data logs are used for no other purposes and will be scheduled for regular destruction in accordance with records disposition schedules governing the investigatory function of the law enforcement body.
6. Unauthorized attempts to upload information or change information on this service are strictly prohibited and may be punishable under the Computer Fraud and Abuse Act of 1986 and the National Information Infrastructure Protection Act." (<http://www.dfas.mil/privacy.html>)

**h. With whom will the PII be shared through data exchange, both within your DoD Component and outside your Component? (Check all that apply)**

- |  |          |   |
|--|----------|---|
| <input checked="" type="checkbox"/> Within the DoD Component   | Specify. | SDDC, USTRANSCOM  |
| <input checked="" type="checkbox"/> Other DoD Components   | Specify. | DFAS, ARMY  |
| <input checked="" type="checkbox"/> Other Federal Agencies   | Specify. | Department of Treasury, General Services Administration (GSA) |
| <input type="checkbox"/> State and Local Agencies  | Specify. |   |
| <input type="checkbox"/> 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. |   |
| <input checked="" type="checkbox"/> Other (e.g., commercial providers, colleges).  | Specify. | U.S. Bancorp.Inc.   |

**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 type="checkbox"/> Existing DoD Information Systems  | <input type="checkbox"/> Commercial Systems |
| <input type="checkbox"/> Other Federal Information Systems |   |

TFMS collects PII directly from individuals during in-processing using TFMS Form 417. TFMS interfaces the following DFAS systems: Defense Travel System, Centralized Disbursing System, Centralized Electronic Funds Transfer, Department Cash Management System, General Accounting and Finance System-Re engineering, and Defense Civilian Pay System. TFMS also interfaces with Customer Automation and Reporting Environment (U.S. Bancorp Inc.) and the Treasury Department.

**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 type="checkbox"/> Official Form (Enter Form Number(s) in the box below) |
| <input type="checkbox"/> Face-to-Face Contact | <input checked="" type="checkbox"/> Paper                                      |

- Fax  Telephone Interview  
 Information Sharing - System to System  Website/E-Form  
 Other (If Other, enter the information in the box below)

**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://dpcltd.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.

Systems that have been identified without the proper schedule requirements with NARA will be processed by the Command Records Manager upon further training & resources. This Process will be sent to the Program Manager once established.

**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.

Public Law 100-562, Imported Vehicle Safety Compliance Act of 1988; 5 U.S.C. 5726, Storage Expenses; Household Goods and Personal Effects; 10 U.S.C. 113, Secretary of Defense; 10 U.S.C. 3013, Secretary of the Army; 10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 8013, Secretary of the Air Force; 19 U.S.C. 1498, Entry Under Regulations; 37 U.S.C. 406, Travel and Transportation Allowances; Dependents; Baggage and Household Effects; Federal Acquisition Regulation (FAR); Joint Federal Travel Regulation (JTR), Volumes I and II; DODD 4500.9E, Transportation and Traffic Management; DODD 5158.4, United States Transportation Command; DODI 4140.01, DOD Supply Chain Material Management; DTR 4500.9-R, Defense Transportation Regulation; DODI 4515.13, Air Transportation Eligibility; and DODD 4500.57, Transportation and Traffic 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.

This DoD information system has an IT investment Unique Project Identifier (UPI), required by section 53 of Office of Management and Budget (OMB) Circular A-11? UIP is 007-97-01-03-02-0055-00