PA SELF-ASSESSMENT FORM

SECTION: _____ DATE: _____

This form is an internal document and is to be used by command leadership to assess the level of compliance in the handling of Personally Identifiable Information (PII) as delineated by law and or specific DoD/DON policy guidance. Some self-assessment items may not apply to your specific command. Where deficiencies are noted, the command should take immediate corrective action. For additional guidance and information go the the DON Privacy website at DONCIO.navy.mil or contact DNS-36 Privacy Act Officer at (202) 685-6546 or DON CIO Privacy Office at (703) 602-4412. This Self-Assessment form is an auditable record and should be kept on file for two years.

ADMINISTRATIVE

1. The name of your Privacy Act Manager is: _____

2. The name of the individual assigned to conduct this self-assessment is: _____

3. The command/department Privacy Act Manager has been identified in writing with clear roles and responsibilities identified.

☐ YES ☐ NO Who: _____

Reference: SECNAVINST 5211.5 E.7.h.--pg. 13

4. The command/department has an implementing Privacy Act instruction.

☐ YES ☐ NO Guidance Followed: _____

Reference: SECNAVINST 5211.5 E.7.h.--pg. 13

5. Are Privacy Act System of Records Managers knowledgeable of DON Privacy Act policy and procedures posted on DON website?

☐ YES ☐ NO How often is website viewed? _____

Reference: SECNAVINST 5211.5E 7.D. (3)-pg 11

6: Does command/department annually review the SORN listing?

☐ YES ☐ NO Date reviewed: _____

Reference: SECNAVINST 5211.5E 7.M (5)-pg17

7. Has the command/department disseminated guidance to its personnel on how to properly mark email, messages, letters, etc., that contain privacy act information prior to transmission?

☐ YES ☐ NO Method: _____

Reference: SECNAVINST 5211.5 E. 7.I(5)-pg.15

8. Are Privacy Act System of Records Managers trained on their responsibilities for protecting Privacy Act information being collected?

☐ YES ☐ NO Method? How often? _____

Reference: SECNAVINST 5211.5 E. 7.H.(5)-pg13

9. Has the command taken action to eliminate or reduce the need for the use of SSN's?

☐ YES ☐ NO What action: _____

Reference: SECNAVINST 5211.5 E 9.C.(6) - pg. 22

PAPER RECORDS

10. Does office use cross cut shredders that make documents unrecognizable?

☐ YES ☐ NO Type of Shredder: _____

Reference: SECNAVINST 5211.5E 8(b) - pg. 19

11. If command/department does not shred all documents containing privacy act information before being placed in a recycle container at random, spot check 10% ofrecycle containers within your organization to ensure that no privacy act information has been placed inside, awaiting disposal.

Number of containers checked:_____ Number of containers containing privacy information: _____ Method Used: _____

Reference: SECNAVINST 5211.5E 8.b(1) through (3) - pg.19

12. Do all forms that collect privacy act information directly from the individual contain a Privacy Act Statement?

☐ YES ☐ NO Forms Manager: _____

Reference: SECNAVINST 5211.5 E. 9.d.(1) - pg. 23

13. Does the command/department ensure that paper records are maintained in accordance with the disposition manual?

☐ YES ☐ NO Disposition: _____

Reference: SECNAVINST 5211.5 E 7.M.(14) - pg. 17

14. Does each unit Privacy Act System of Records Manager ensure files are not maintained illegally?

☐ YES ☐ NO How? _____

Reference: SECNAVINST 5211.5 E 7.M.(4) - pg 16

15. Does the department Privacy Act Manager maintain liaison with records management officials?

☐ YES ☐ NO Records Manager: _____

Reference: SECNAVINST 5211.5E 7.H.(9) - pg. 14

16. Do Privacy Act System of Records Managers ensure that all contractor personnel granted access to data maintained within his/her System of Records collection are properly trained and routinely inspected for Privacy Act compliance?

Records Manager: _____

Reference: SECNAVINST 5211.5E 7.M.(16)

17. Are Privacy Act System of Records Manager aware that there are regulations to be followed when making a disclosure and know where to find instructions for processing a request for disclosure?

Guidance followed: _____

Reference: SECNAVINST 5211.5E 8.A, 10, 13 pgs. 18, 24, 35

18. For static or electronic bulletin boards that disseminate command information to all hands or to select groups, check for the presence of privacy information. Privacy information should only be available to individuals with a need to know.

Number of boards checked: _____ Number of examples of where privacy information was found: _____

Reference: SECNAVINST 5211.5E 18.D.(6) - pg. 47

19. Does the command have protocols established to ensure privacy information is not inadvertently posted on a public or restricted access website?

☐ YES ☐ NO Who reviews website: _____

Reference: SECNAVINST 5211.5E 7.D.(8) - pg. 11

20. Are command sponsored websites properly registered?

Number of sites: _____ Number properly registered: _____ Share Portal access checked against master list: _____

Reference: SECNAVINST 5211.5E 7.D.(10) - pg. 11

21. Spot check 25% of command websites searching for privacy act information that is available to individuals who do not have a need to know.

Number of sites checked: _____ Number of records with privacy information: _____ Share Portal access checked against master list: _____

22. Is documentation on file certifying all personnel have completed SORN training?

☐ YES ☐ NO How is training completed/tracked? _____

Reference: SECNAVINST 5211.5E 7.M(3) - pg. 16, 59

23. Copy of SORN accessible for each system utilized by personnel.

☐ YES ☐ NO Location: _____

Reference: SECNAVINST 5211.5E 7.M - pg. 16

24. Is documentation on file certifying all personnel have completed calendar year Privacy Act training?

☐ YES ☐ NO How is training completed/tracked? _____

Reference: SECNAVINST 5211.5E 7.H(6) - pgs. 13, 59

Recommendations, comments or concerns: