

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:

Inspector General Case Action Manager (IGCAM)

2. DOD COMPONENT NAME:

Department of the Navy

3. PIA APPROVAL DATE:

05/13/20

USMC - Inspector General of the Marine Corps

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.

IGCAM is a case management tool used to adjudicate complaints. Records include evidence to verify Complainants and Subjects, and to process cases and/or to communicate with interested parties.

PII contained in these records includes names and contact information (physical addresses, email addresses, and phone numbers) and may include pictures and any other information that is voluntarily submitted.

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)

Mission related use. The PII collected will be used to determine the facts and circumstances surrounding complaints and allegations against Marine Corps personnel and/or activities, which include collecting evidence to verify Complainants and Subjects, and to process a case and/or to communicate with interested parties.

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.

Complainants also have the option to remain anonymous. A warning banner is present, which reads "Do not submit any classified information or sensitive personally identifiable information (PII). This includes social security numbers, medical records, etc.," intended to deter the collection of PII.

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 collected will only be for the mission related use. Consent is assumed when the individual provides their information.

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: 10 U.S.C. 5014, Office of the Secretary of the Navy; 10 U.S.C. 5020, Naval Inspector General: details; duties; SECNAVINST 5430.57 series, Mission and Functions of the Naval Inspector General; SECNAVINST 5370.5 series, DON Hotline Program; and E.O. 9397 (SSN), as amended. SORN # N05041-1

Purpose: We request this information in order to determine the facts and circumstances surrounding complaints and allegations against Marine Corps personnel and/or activities.

Routine Uses: The Office of the Inspector General of the Marine Corps will have access to the collected information on a routine basis, as needed to complete mission-related duties. A complete list and explanation of the applicable routine uses is published in the authorizing SORN available at <https://dpcl.d.defense.gov/Privacy/SORNsIndex/DOD-wide-SORN-Article-View/Article/570354/n05041-1/>.

Disclosure: Providing information on this form is voluntary. Be advised, however, that failure to provide some information may result in a lack of enough information for the Inspector General to investigate or provide assistance.

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. | <input type="text" value="Inspector General of the Marine Corps"/> |
| <input type="checkbox"/> Other DoD Components | Specify. | <input type="text"/> |
| <input type="checkbox"/> Other Federal Agencies | Specify. | <input type="text"/> |
| <input type="checkbox"/> State and Local Agencies | Specify. | <input type="text"/> |
| <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 type="text"/> |
| <input type="checkbox"/> Other (e.g., commercial providers, colleges). | Specify. | <input type="text"/> |

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

IGCAM only receives information from individuals, databases, and existing USMC enterprise personnel data management programs. IGCAM obtained the initial data library from the tool's predecessor, IGMC Case Management System (CMS), which is now decommissioned.

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 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) | |

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.

N/A

I. 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.

DAA-NU-2015-0005-0013

(2) If pending, provide the date the SF-115 was submitted to NARA.

(3) Retention Instructions.

SSIC 5000-13: Inspector General Investigations - Final Reports. Disposition: Permanent. Cutoff at case closure. Transfer to the National Archives 50 years after cutoff.

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 N05041-1, Naval Inspector General (IG) Investigative Records, (July 01, 2011, 76 FR 38643), authorities:

10 U.S.C. 5014, Office of the Secretary of the Navy; 10 U.S.C. 5020, Naval Inspector General: details; duties; SECNAVINST 5430.57 series, Mission and Functions of the Naval Inspector General; SECNAVINST 5370.5 series, DON Hotline Program; 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.

This reporting requirement is EXEMPT from reports control.

Per DoD Manual 8910.01, Volume 2, Enclosure 3, Section 8, Page 20, which states that "Exempt collections of information are those conducted:"... "During the conduct of a civil action to which the United States is a party, or during the conduct of an administrative action, investigation, or audit involving a government agency against specific individuals or entities;" Per SECNAV M-5214.1, Part IV, para 7.n., "Reports of audits, internal reviews, investigation of charges, complaints, claim or violation of laws and regulations."