

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:

Investigations and Resolutions Case Management System (IRCMS)

2. DOD COMPONENT NAME:

Department of Defense Human Resources Activity

3. PIA APPROVAL DATE:

Defense Support Services Center (DSSC)

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 Investigations and Resolutions Case Management System (IRCMS) is the Department of Defense's enterprise-wide, web-based tracking and case management application that provides an effective mechanism to manage and track Equal Employment Opportunity (EEO) complaints submitted for investigation. The system provides a comprehensive repository for case information, electronic file management, and a full-featured report generation module to meet a variety of reporting requirements and program evaluation needs. IRCMS includes the capability to enter and collect data, manage case deadlines, generate reports and metrics as required, and facilitate case management and program improvement decision-making within DoD. The information is also used to respond to individual Freedom of Information Act (FOIA) and Congressional requests, and for performance metrics for employees.

IRCMS maintains the following personal information: Complainant's full name; date of birth, race, religion, sex, disability information, national origin; employment information, security clearance, and educational information (as it relates to the nature of the EEO complaint); prior EEO activity; home address and telephone number; work telephone number; Agency Docket Number; and information about the alleged discrimination basis(es) and requested relief.

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 uses

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.

No - information maintained in IRCMS is not collected directly from the individual. All information is collected and input by the servicing EEO office which handled the initial complaint and informal investigation. When a complaint goes formal, the serving EEO office makes a request and provides all requested information for DMOC to investigate the complaint via IRCMS. All information provided to the servicing EEO office as part of the initial complaint is voluntary. The individual, however, does not have the opportunity to object to a complaint being submitted for investigation by DMOC and the collection of their PII in IRCMS to facilitate this investigation.

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.

All information provided to a servicing EEO office as part of an initial complaint is voluntary. Individuals, however, do not have the opportunity to object to a complaint being submitted for investigation by DMOC and the use of their PII during this investigation.

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

PRIVACY ACT STATEMENT: The information accessed through this system is FOR OFFICIAL USE ONLY and must be protected in accordance with the Privacy Act of 1974.

AUTHORITIES: 5 U.S.C. 3321, Competitive service; probationary period; 5 U.S.C. 4303, Action based on unacceptable performance; 5 U.S.C. 7504, Regulations; 5 U.S.C. 7514, Regulations; 5 U.S.C. 7543, Cause and procedure

PRINCIPAL PURPOSES: To provide electronic case tracking and management for labor and employee relations cases.

ROUTINE USE(S): Disclosure of records are generally permitted under 5 U.S.C. 552a(b) of the Privacy Act of 1974, as amended. Applicable Blanket Routine Use(s) are: (1) Law Enforcement Routine Use, (2) Disclosure When Requesting Information Routine Use, (3) Disclosure of Requested Information Routine Use, (4) Congressional Inquiries, (8) Disclosure to the Office Personnel Management Routine Use, (9) Disclosure to the Department of Justice for Litigation Routine Use, (12) Disclosure of Information to the National Archives and Records Administration Routine Use, (13) Disclosure to the Merit systems Protection Board Routine Use, and (15) Data Breach Remediation Purposes Routine Use.

The DoD Blanket Routine Uses set forth at the beginning of the Office of the Secretary of Defense (OSD) compilation of systems of records notices may apply to this system. The complete list of DoD Blanket Routine Uses can be found Online at: <http://dpold.defense.gov/Privacy/SORNsIndex/BlanketRoutineUses.aspx>.

DISCLOSURE: Voluntary. However, failure to provide or update your information may inhibit proper case adjudication.

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 type="checkbox"/> Within the DoD Component	Specify.	
<input checked="" type="checkbox"/> Other DoD Components (i.e. Army, Navy, Air Force)	Specify.	EEO Offices (Military Departments, OSD Components, Joint Staff)
<input type="checkbox"/> Other Federal Agencies (i.e. Veteran's Affairs, Energy, State)	Specify.	
<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 type="checkbox"/> 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 type="checkbox"/> Individuals	<input checked="" type="checkbox"/> Databases
<input type="checkbox"/> Existing DoD Information Systems	<input type="checkbox"/> Commercial Systems
<input type="checkbox"/> Other Federal Information Systems	

Information maintained in IRCMS is not collected directly from the individual. All information is collected and input by the servicing EEO office which handled the initial complaint and informal investigation.

j. How will the information be collected? (Check all that apply and list all Official Form Numbers if applicable)

<input type="checkbox"/> E-mail	<input type="checkbox"/> Official Form (Enter Form Number(s) in the box below)
<input type="checkbox"/> In-Person Contact	<input type="checkbox"/> Paper
<input type="checkbox"/> Fax	<input type="checkbox"/> Telephone Interview
<input 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)	

Information is collected via IRCMS, Department of Defense's enterprise-wide, web-based tracking and case management application that provides an effective mechanism to manage and track Equal Employment Opportunity (EEO) complaints submitted for investigation.

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://dpclld.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.

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.

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

(3) Retention Instructions.

Master Files: Destroy/delete completed case files, investigation reports, and all other related documents 90 days after the case is returned to the EEO of origin. (1805-21 - DAA-0330-2015-0010-0001)

Metadata Files: Destroy metadata annually 15 years after cases are returned to the EEO of origin. (1805-22 - DAA-0330-2015-0010-0002)

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.

29 CFR 1614, Federal Sector Equal Employment Opportunity; E.O. 12106, Transfer of Certain Equal Employment Enforcement Functions; E.O. 11478, Equal Employment Opportunity in the Federal Government, as amended; and Department of Defense Instruction 1400.25, Volume 1614, DoD Civilian Personnel Management System: Investigation of Equal Employment Opportunity (EEO) Complaints

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 system does not collect, maintain, or disseminate information from the public; therefore submission to OMB is not required