

## 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:**

Defense Case Activity Tracking System Enterprise (DCATSe)

**2. DOD COMPONENT NAME:**

Department of Defense Inspector General

**3. PIA APPROVAL DATE:**

06/03/22

### 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 DoD OIG maintains this system in order to carry out its responsibilities pursuant to the Inspector General Act of 1978, as amended. The DoD OIG is statutorily directed to conduct and supervise investigations relating to DoD programs and operations, to promote economy, efficiency, and effectiveness in the administration of such programs and operations, and to prevent and detect fraud, waste, and abuse in such programs and operations. Accordingly, records in DCATSe are used in the course of investigating individuals suspected of administrative or criminal misconduct.

DCATSe is used for case management, case tracking, information storage, to respond to requests for information, and to fulfill mandatory reporting requirements. DCATSe enables users to record complaints, allegations of wrongdoing, and requests for assistance; to document inquiries; to store investigative case records; to compile statistical information; to provide prompt, responsive and accurate information; to provide a record of complaint disposition; and to record actions taken and notifications of interested parties and agencies.

The types of PII maintained in DCATSe includes records resulting from the referral of, and inquiry into, hotline complaints, whistleblower reprisal investigations, and senior official investigations, including the allegations submitted to the DoD OIG, referral documents to other DoD components, investigation reports, information received from witnesses, information gathered by investigators, records of action taken, disposition of the case, and supporting documentation. Data points may include full name, date of birth, telephone numbers, duty positions along with rank and grade, place of employment, and physical and e-mail addresses.

**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)

DoD OIG collects PII to positively identify subjects, witnesses, and victims associated with an administrative investigation. This information is used by investigators to collaborate and coordinate investigative efforts. PII is reported in accordance with statutory and regulatory mandates to other DoD information systems, including the Defense Central Index of Investigations, Law Enforcement Defense Data Exchange, and Defense Incident Based Reporting System, where it is used to identify persons involved in DoD OIG investigations.

**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.

Information is collected and maintained in accordance with all applicable rules and regulations and as required to carry out the mission of the DoD OIG pursuant to the IG Act. Although individuals cannot object to the collection of their PII, complainants may choose to remain anonymous and no PII for the complainant is collected in those cases.

**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.

Information is collected and maintained in accordance with all applicable rules and regulations, as required, to carry out the mission of the DoD OIG under the IG Act.

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

If appropriate, a Privacy Act Statement or Advisory is provided at the point of collection, such as DoD Hotline, Administrative Investigations Component, and Office of Legislative Affairs and Communications. DCATSe does not collect PII directly, but PII may be stored in the system.

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. | All DoD OIG components that require access for mission requirements                      |
| <input checked="" type="checkbox"/> Other DoD Components (i.e. Army, Navy, Air Force)                                                                                                                                                                                      | Specify. | Military Services, Investigative, and Auditing agencies throughout the DoD.              |
| <input checked="" type="checkbox"/> Other Federal Agencies (i.e. Veteran's Affairs, Energy, State)                                                                                                                                                                         | Specify. | Law Enforcement, Investigative, and Auditing agencies throughout the Federal government. |
| <input checked="" type="checkbox"/> State and Local Agencies                                                                                                                                                                                                               | Specify. | State and local agencies as needed for mission requirements.                             |
| <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 checked="" type="checkbox"/> Individuals                       | <input checked="" type="checkbox"/> Databases          |
| <input checked="" type="checkbox"/> Existing DoD Information Systems  | <input checked="" type="checkbox"/> Commercial Systems |
| <input checked="" type="checkbox"/> Other Federal Information Systems |                                                        |

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 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://dpold.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.

Unscheduled

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

(3) Retention Instructions.

Records are retained and disposed of in accordance with applicable disposition schedules. Any unscheduled records will be retained indefinitely, until they have been scheduled with the National Archives and Records Administration and have become eligible for disposition under those schedules.

**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.

- 1) Public Law 95-452, as amended, Inspector General Act of 1978;
- 2) DoD Directive 5106.1, Inspector General of the Department of Defense; and
- 3) DoD Directive 5106.04, Combatant Command Inspectors General.

**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 collection of information is exempt from an OMB collection number using exemption at DoDM 8910.01, Volume 2, Enclosure 3, Item 8.a.(2).(b); which states: "During conduct of a civil action to which U.S. is a party, or during conduct of an administrative action, investigation, or audit involving a government agency against specific individuals or entities."