

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:

Voluntary Leave Transfer Program Records

2. DOD COMPONENT NAME:

Department of Defense Inspector General

3. PIA APPROVAL DATE:

11/28/17

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
[X] 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
[X] 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.

OPM and DoD require agencies to maintain a Voluntary Leave Transfer Program to provide employees with the means of acquiring additional paid time off from leave donors during medical emergencies. DoD OIG collects PII to verify the eligibility of employees seeking voluntary leave and to administratively effectuate the transfer of leave from the donor's account to the recipient's account.

The donor and recipient must provide their names, employment information, and leave balances. Additionally, the leave donor must provide the last 4 digits of their social security number; while the recipient must provide their full social security number, the estimated duration of the medical emergency, home address, personal telephone number, and a brief doctor's note to verify the medical emergency. If a individual chooses to donate leave to a eligible recipient at another agency, they must provide the same donor information as above in a separate form, as well as the name and organization of the recipient.

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 collection is necessary for the proper payroll action of increasing and decreasing employee leave balances, resulting in an accurate Leave and Earnings Statements for both the leave donor and recipient. Medical PII may be gathered from the leave recipient to verify eligibility for the voluntary leave donation program. Personal health information is specifically not collected; instead individuals are asked to provide a short note from a doctor verifying the leave recipient is being treated for a medical condition, the duration of the treatment, and a statement that medical leave is required.

e. Do individuals have the opportunity to object to the collection of their PII? [X] 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.

Individuals voluntarily provide their information only if they wish to donate or receive donated leave. Information is collected and maintained in accordance with all applicable rules and regulations as required to carry out the voluntary leave program.

f. Do individuals have the opportunity to consent to the specific uses of their PII? [X] 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.

PII is collected to required to verify leave balances, eligibility, and effectuate the transfer of leave.

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

A verbal Privacy Act Statement is provided to the leave donor and recipient prior to submission of paperwork. HCAS informs leave recipients that their health information will be provided only for verification and will not be disclosed to anyone else for any other purpose.

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

Within the DoD Component

Specify.

Supervisor of leave recipient, only so he/she can approve the recipient's entrance into the leave donor program.

Other DoD Components

Specify.

Other Federal Agencies

Specify.

Agencies with voluntary leave donation programs may receive donor information, and data is input into DFAS DCPS system to effect leave transfer

State and Local Agencies

Specify.

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.

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)

Individuals

Databases

Existing DoD Information Systems

Commercial Systems

Other Federal Information Systems

Individuals personally provide all information to HCAS in approved forms or format.

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

E-mail

Official Form (Enter Form Number(s) in the box below)

Face-to-Face Contact

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 CIG-17

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.

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.

Destroy after GAO audit or when 3 years old, whichever is sooner.

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.

The authority to collect information in this system is derived from:

- 1) 5 U.S.C. 6331, Subchapter III, "Voluntary Transfers of Leave";
- 2) 5 CFR part 630, Subpart K, "Emergency Leave Transfer Program";
- 3) DOD 7400.14-R, Volume 8, "Financial Management Regulation, Civilian Pay Policy," dated November 2015;
- 4) IG Instruction 1424.630, Chapter 3, "Voluntary Leave Transfer Program," dated July 26, 2013.

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.

OMB Control number not required, system does not collect records from 10 or more members of the public in a 12-month period.