

## 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:**

Grievance Records

**2. DOD COMPONENT NAME:**

Department of Defense Inspector General

**3. PIA APPROVAL DATE:**

### SECTION 1: PII DESCRIPTION SUMMARY (FOR PUBLIC RELEASE)

**a. The PII is:** (Check one. Note: foreign nationals are included in general public.)

- |   |   |
|---|---|
| <input type="checkbox"/> From members of the general public   | <input checked="" type="checkbox"/> From Federal employees and/or Federal contractors |
| <input type="checkbox"/> From both members of the general public and Federal employees and/or Federal contractors | <input type="checkbox"/> Not Collected (if checked proceed to Section 4)              |

**b. The PII is in a:** (Check one)

- |  |   |
|--|---|
| <input type="checkbox"/> New DoD Information System                    | <input type="checkbox"/> New Electronic Collection      |
| <input checked="" type="checkbox"/> Existing DoD Information System    | <input type="checkbox"/> Existing Electronic Collection |
| <input type="checkbox"/> 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.**

OMB mandates that agencies maintain a grievance process as an option for federal employee dispute resolution. Grievance records are used by the Department of Defense, Office of the Inspector General (DoD OIG) to control and process grievances; to investigate the allegations; conduct interviews; and render final decisions. The minimum requirements for filing a grievance include; the complainant's information (name/job title/grade/ and duty station); representative (if desired); basis for the grievance; desired remedy; and the management official to whom the grievance is being presented (name/job title/organization/and work address). Employees can also provide documents that support their complaints, as needed.

**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)

Information is used to investigate the grievance complaint. During the investigation process, DOD OIG may use PII to contact individuals, research facts, and coordinate with individuals who must be involved in the grievance settlement process. Administratively, statistics related to grievance activity are tracked for resource allocation and program performance monitoring.

**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.

Individuals may object to the collection of their PII, but depending on the nature of the grievance filed, it may be necessary to provide PII to seek remedy through the grievance process. Individuals involved with the grievance process are made to understand, through an interview process, that they are providing PII voluntarily to support their grievance complaint.

**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.

Individuals have the right to refuse disclosure or stop the grievance process at any point. PII is only used to support the grievance process, and only shared outside that process at the request of the individual who filed the grievance.

**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

Hard copy of the Privacy Act Statement describing the agency's practices regarding the use, maintenance and collection of PII is provided to the individual submitting the grievance.

Privacy Act Statement This information is protected under the provisions of the Privacy Act of 1974. Although disclosure of the information is voluntary, failure to provide the information may impede the processing of the grievance action.

**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.

DoD OIG components required to be a part of the grievance process.

Other DoD Components

Specify.

Other Federal Agencies

Specify.

Merit System Protection Board, Office of Special Counsel, Administrative and/or Civil Adjudication Systems when applicable

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

PII is collected voluntary from the employee filing the complaint and seeking redress.

**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-18

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.

**l. 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. GRS 2.3, Item 60, 61, 64

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

(3) Retention Instructions.

Destroy no sooner than 4 years but no less than 7 years after case is closed

**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.

5 Code of Federal Regulations, Part 771, "Agency Administrative Grievance System";

5 U.S.C. 2302, "Prohibited personnel practices";

5 U.S.C. 7121, "Grievance procedures";

DoD Instruction 1400.5 (DoDI), "Administrative Grievance Procedures," dated August 2, 2013;

DoDI 1400.25-M, "DoD Civilian Personnel Management System," dated December 3, 1996;

DoD Directive 5145.5, "Alternative Dispute Resolutions," dated November 21, 2003;

Inspector General Instruction (IGINST) 1400.4, "Disciplinary and Adverse Actions," dated June 5, 2006

IGINST 1400.430, "Performance Management," dated January 19, 2010;

IGINST 1402.1, "Employment Programs," dated June 6, 2012.

**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.