

## 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:**

Congressional Correspondence Tracking System

**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.)

- |  |  |
|--|--|
| <input type="checkbox"/> From members of the general public  | <input type="checkbox"/> From Federal employees and/or Federal contractors |
| <input checked="" 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 type="checkbox"/> Existing DoD Information System               | <input checked="" 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.**

The Congressional Correspondence Tracking System is the principal DoD OIG system for managing incoming correspondence from members of congress and facilitates timely responses to keep members of congress informed of ongoing IG activities, pursuant to the Inspector General Act of 1978, as amended.

Incoming correspondence from congress typically has a constituents name, Social Security number, home address, phone number, email address, and other personal information related to their specific situation.

**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: PII collected enables DoD OIG to identify and verify complaints or information reported to Congress and keep members of Congress informed of ongoing activities related to congressional inquiries.

Administrative: PII collected allows management to track the effectiveness and timeliness of communication to Congress.

**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 as required to carry out the mission of the DoD OIG under the IG Act.

**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

Congressional Representatives typically make the constituent sign a privacy waiver prior to relaying the PII to DoD OIG.

If additional information is required in order to respond to the member of congress, then DoD OIG will contact the constituent and provide a privacy waiver before collecting additional information.

**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. | Personnel responsible for processing correspondence and DoD OIG component personnel responsible for processing the specific action. |
| <input checked="" type="checkbox"/> Other DoD Components   | Specify. | All DoD Components that have equity in the specific action containing PII.  |
| <input checked="" type="checkbox"/> Other Federal Agencies   | Specify. | Law Enforcement organizations that have equity in the specific action containing PII.   |
| <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 checked="" type="checkbox"/> Individuals                      | <input type="checkbox"/> Databases          |
| <input checked="" type="checkbox"/> Existing DoD Information Systems | <input type="checkbox"/> Commercial Systems |
| <input type="checkbox"/> Other Federal Information Systems           |   |

PII is provided by the individual who contacts his or her congressman. If the individual already provided information directly to DoD OIG, then information may be pulled from a existing DoD OIG system. If DoD OIG does not have enough information to respond to the member of congress, then DoD OIG may contact the individual directly to request additional information.

**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 checked="" type="checkbox"/> Paper                                      |
| <input checked="" type="checkbox"/> Fax   | <input checked="" type="checkbox"/> Telephone Interview                        |
| <input type="checkbox"/> Information Sharing - System to System                   | <input 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://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.

**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.

Unscheduled

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

(3) Retention Instructions.

Do not delete or transfer until DoD OIG receives NARA-approved disposition authority

**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;
- 2) DoD Directive 5106.1, "Inspector General of the Department of Defense (IG DoD)," dated August 19, 2014;
- 3) IG Instruction 5545.1, "Congressional Affairs Activities," dated February 2, 2017;
- 4) IG Instruction 5400.2, "Public Affairs Program," dated September 30, 2014.

**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.

Awaiting OMB final approval. Collection is listed under Federal Register number 78 FR 78946.