

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:

WHS-ESD-FOID-CASEPOINT

2. DOD COMPONENT NAME:

Washington Headquarters Service

3. PIA APPROVAL DATE:

06/21/24

WHS/ESD/FOID

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.

WHS-CASEPOINT is a used to collect, process and analyze potentially responsive records for Freedom of Information Act (FOIA) requests. The CASEPOINT application utilizes the E-Discovery software to process PST files provided via email by OSD Components. WHS-CASEPOINT allows for de-duplication of emails and files, and allows for more accurate boolean searches for faster results to be conducted on the files being processed. These more accurate searches allow users to locate the most responsive records for the FOIA request being processed. Users can then use WHS-CASEPOINT to export the accurate search results for further FOIA processing. Note files are only stored for immediate processing, search and extraction. Not being utilized for long term storage of files.

PII collected would be part of the emails/files being processed for FOIA purposes. Consists of email's contents, such as name, home/work/cell phone numbers, work email addresses, DoD ID numbers, official duty address, official duty address, position/title, rank/grade, and sometimes other additional PII that may not be solicited

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 FOIA requests are mandated by the Freedom of Information Act, 5 U.S.C. § 552

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.

PII collected would be part of the emails/files being processed for FOIA purposes. Records require a formal review by the Components to determine if the materials are releasable to the public IAW 5 U.S.C. § 552

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.

Records require a formal review by the Components to determine if the materials are releasable to the public IAW 5 U.S.C. § 552.

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

AUTHORITY: 10 U.S.C. § 113, Secretary of Defense; 44 U.S.C. Chapter 31, Records Management by Federal Agencies; 44 U.S.C. § 2911.

Disclosure Requirement for Official Business Conducted Using Non-Official Electronic Messaging Accounts; 5 U.S.C. § 552, Freedom of Information Act, as amended; 5 U.S.C. § 552a, Privacy Act of 1974, as amended; 22 CFR, Chapter 1 § 171, Public Access to Information; 36 CFR § 1236.22, What are the Additional Requirements for Managing Electronic Mail Records; OMB Circular A-130, Managing Information as a Strategic Resource; DoD Directive 5105.53, Director of Administration and Management (DA&M); DoD Directive 5110.04, Washington Headquarters Services (WHS); DoD Directive 5400.07 DoD Freedom Of Information Act (FOIA) Program.

PURPOSE: To collect, process and analyze potentially responsive records for Freedom of Information Act (FOIA) requests. Enables emails provided by OSD Components to be searched expeditiously and eliminates redundant information (de-duplication) within the email exchange. Allows for more accurate searches to locate the most responsive records for the FOIA request, and export the most accurate search results for FOIA processing.

ROUTINE USES: In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act of 1974, as amended, the records contained herein may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3) as listed in the applicable system of records notice located at: <https://www.federalregister.gov/documents/2021/12/22/2021-27710/privacy-act-of-1974-system-of-records>; <https://www.federalregister.gov/documents/2023/10/03/2023-21863/privacy-act-of-1974-system-of-records>; and <https://www.federalregister.gov/documents/2023/09/01/2023-18682/privacy-act-of-1974-system-of-records>.

DISCLOSURE: Voluntary, however, failure to provide the requested information may result in the FOIA request being denied.

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. | with OSD/JS requester service center |
| <input checked="" type="checkbox"/> Other DoD Components (i.e. Army, Navy, Air Force) | Specify. | FOIA Points of Contact |
| <input checked="" type="checkbox"/> Other Federal Agencies (i.e. Veteran's Affairs, Energy, State) | Specify. | FOIA Points of Contact |
| <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 type="checkbox"/> Databases |
| <input checked="" type="checkbox"/> Existing DoD Information Systems | <input type="checkbox"/> Commercial Systems |
| <input type="checkbox"/> Other Federal Information Systems | |

DoD email 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 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 type="checkbox"/> Website/E-Form |
| <input checked="" type="checkbox"/> Other (If Other, enter the information in the box below) | |

PST files are provided by component who conducted initial email search and are provided to our office via email, SAFE, or other similar means. They could also be provided by CD/DVD if the size is too big

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://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.

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.

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.

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.