



PRIVACY IMPACT ASSESSMENT (PIA)

For the

Performance Evaluation System (PES)

Department of the Navy - United States Marine Corps (USMC)

SECTION 1: IS A PIA REQUIRED?

a. Will this Department of Defense (DoD) information system or electronic collection of information (referred to as an "electronic collection" for the purpose of this form) collect, maintain, use, and/or disseminate PII about members of the public, Federal personnel, contractors or foreign nationals employed at U.S. military facilities internationally? Choose one option from the choices below. (Choose (3) for foreign nationals).

- (1) Yes, from members of the general public.
- (2) Yes, from Federal personnel* and/or Federal contractors.
- (3) Yes, from both members of the general public and Federal personnel and/or Federal contractors.
- (4) No

* "Federal personnel" are referred to in the DoD IT Portfolio Repository (DITPR) as "Federal employees."

b. If "No," ensure that DITPR or the authoritative database that updates DITPR is annotated for the reason(s) why a PIA is not required. If the DoD information system or electronic collection is not in DITPR, ensure that the reason(s) are recorded in appropriate documentation.

c. If "Yes," then a PIA is required. Proceed to Section 2.

SECTION 2: PIA SUMMARY INFORMATION

a. Why is this PIA being created or updated? Choose one:

- New DoD Information System
- New Electronic Collection
- Existing DoD Information System
- Existing Electronic Collection
- Significantly Modified DoD Information System

b. Is this DoD information system registered in the DITPR or the DoD Secret Internet Protocol Router Network (SIPRNET) IT Registry?

- Yes, DITPR Enter DITPR System Identification Number
- Yes, SIPRNET Enter SIPRNET Identification Number
- No

c. Does this DoD information system have an IT investment Unique Project Identifier (UPI), required by section 53 of Office of Management and Budget (OMB) Circular A-11?

- Yes
- No

If "Yes," enter UPI

If unsure, consult the Component IT Budget Point of Contact to obtain the UPI.

d. 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 should be consistent.

- Yes
- No

If "Yes," enter Privacy Act SORN Identifier

DoD Component-assigned designator, not the Federal Register number.
Consult the Component Privacy Office for additional information or
access DoD Privacy Act SORNs at: <http://www.defenselink.mil/privacy/notices/>

or

Date of submission for approval to Defense Privacy Office

Consult the Component Privacy Office for this date.

e. Does this DoD information system or electronic collection have an 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

Enter OMB Control Number

Enter Expiration Date

No

f. Authority to collect information. A Federal law, Executive Order of the President (EO), or DoD requirement must authorize the collection and maintenance of a system of records.

(1) If this system has a Privacy Act SORN, the authorities in this PIA and the existing Privacy Act SORN should be the same.

(2) 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) Whenever possible, cite the specific provisions of the statute and/or EO that authorizes the operation of the system and the collection of PII.

(b) If a specific statute or EO does not exist, determine if an indirect statutory authority can be cited. An indirect 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) 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 should be identified.

- (1) E.O. 9397 (SSN), as amended
- (2) Title 10 USC, Subtitle E, Part 1, Chapter 1007, Section 10204
- (3) Title 10 USC, Part I, Chapter 506, Section 5042
- (4) Title 5 USC, 301
- (5) Marine Corps Order (MCO) P1610.7E, Performance Evaluation System
- (6) 10 U.S.C. 5013, Secretary of the Navy
- (7) 10 U.S.C. 5041, Headquarters, Marine Corps
- (8) 10 U.S.C. 1074f, Medical Tracking System for Members Deployed Overseas
- (9) 32 CFR 64.4, Management and Mobilization
- (10) DoD Dir 1215.13, Reserve Component Member Participation Policy
- (11) DoD Instruction 3001.02, Personnel Accountability in Conjunction with Natural and Manmade Disasters
- (12) CJCSM 3150.13B, Joint Reporting Structure Personnel Manual
- (13) DoD Instruction 6490.03, Deployment Health
- (14) MCMEDS: SECNAVINST 1770.3D, Management and Disposition of Incapacitation Benefits for Members of the Navy and Marine Corps Reserve Components (Renamed Line of Duty(LOD))
- (15) MCO 7220.50, Marine Corps Policy for paying Reserve Marines
- (16) 5 U.S.C. 301, Departmental Regulations
- (17) 10 U.S.C. 5031

g. Summary of DoD information system or electronic collection. Answers to these questions should be consistent with security guidelines for release of information to the public.

(1) Describe the purpose of this DoD information system or electronic collection and briefly describe the types of personal information about individuals collected in the system.

The Performance Evaluation System (PES) supports the centralized selection, promotion, and retention of the most qualified Marines of the Active and Reserve Components of the United States Marine Corps (USMC). PES also aids in the assignment of personnel and supports other personnel management decisions as required. Records contain information required to validate the selection, promotion, and retention of qualified Marines.

Personnel information contained in the records include; name, last four digits Social Security Number, (SSN), citizenship, gender, race, DOB, home telephone, home address, unit company code, unit platoon code, reserve component code, military occupational specialty (MOS), and grade.

(2) Briefly describe the privacy risks associated with the PII collected and how these risks are addressed to safeguard privacy.

The privacy risks involved in the collection of PII include the unauthorized disclosure of sensitive information, which could lead to identity theft. Although PII is not authorized to be shared or released to individuals or systems without the prior written consent of the individual, the potential for "hackers" or dishonest employees to unlawfully disclose individuals' PII does exist. USMC EIAD 011 - "Personally Identifiable Information" provides direction. In addition, annual PII Training is conducted along with providing security warnings on the screen when logging into a DoD system, and also the federal and civil penalties that apply.

h. With whom will the PII be shared through data exchange, both within your DoD Component and outside your Component (e.g., other DoD Components, Federal Agencies)? Indicate all that apply.

Within the DoD Component.

Specify.

PII will be shared with the following systems and their users/owners.

System: Optical Digital Imaging Records Management System (ODI-RMS)
System Owner: Manpower Management Support Branch (MMSB)

System: Operational Data Store Enterprise (ODSE)
System Owner: USMC Manpower and Reserve Affairs (M&RA)

Other DoD Components.

Specify.

Other Federal Agencies.

Specify.

State and Local Agencies.

Specify.

Contractor (Enter name and describe the language in the contract that safeguards PII.)

Specify.

Other (e.g., commercial providers, colleges).

Specify.

i. Do individuals have the opportunity to object to the collection of their PII?

Yes

No

(1) If "Yes," describe method by which individuals can object to the collection of PII.

Objection to the collection of PII in PES would have to exist with the fitness report, the source for PES data. An individual has the opportunity to review and update their fitness report information as necessary prior to final submission.

(2) If "No," state the reason why individuals cannot object.

j. 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.

The PII within PES is used exclusively by authorized DoD personnel, and any PII that is shared or released is done so with the express written permission of the individual concerned using the standard Privacy Act Statement Release Form.

The USMC rules for contesting contents and appealing initial agency determinations are published in Secretary of the Navy Instruction 5211.5; Marine Corps Order P5211.2; 32 CFR part 701; or may be obtained from the system manager, Personnel Management Support Branch (MMSB), 2008 Elliot Road, Marine Corps Base (MCB) Quantico, VA 22134-5030.

(2) If "No," state the reason why individuals cannot give or withhold their consent.

k. What information is provided to an individual when asked to provide PII data? Indicate all that apply.

- | | |
|--|---|
| <input checked="" type="checkbox"/> Privacy Act Statement | <input checked="" type="checkbox"/> Privacy Advisory |
| <input checked="" type="checkbox"/> Other | <input type="checkbox"/> None |

Describe each applicable format.

All official PES users are required to read and acknowledge a Privacy Act Warning (PAW) which notifies the official user that they are entering into a system that is governed by rule-making established by the Privacy Act of 1974 [5 U.S.C. 552a] and that mandated safeguarding, handling and disposal procedures must be observed. The PAW further apprises the official user that they are not allowed to share or disseminate PII from PES unless authorized by law and that civil and /or criminal penalties will apply. A requirement may also exist for a Privacy Advisory Statement (PAS) which will be developed as a "pop-up" for whenever an individual is asked to provide or update their information in a specific record maintained in an electronic system. Also, the NAVMC 11000 is the Privacy Act Statement which is provided to and signed by all Marines and applicants. These statements are maintained in the Marines Service Record Book (SRB) or Officer Qualification Record (OQR).

The PES Project Officer is working with the HQMC Privacy Act Officer to create a PES Privacy Advisory Statement (PAS) and Privacy Act Warning (PAW) for all PES users to acknowledge, each and every time a user logs into PES. This PIA will be amended once the PAS and PAW are published.

NOTE:

Sections 1 and 2 above are to be posted to the Component's Web site. Posting of these Sections indicates that the PIA has been reviewed to ensure that appropriate safeguards are in place to protect privacy.

A Component may restrict the publication of Sections 1 and/or 2 if they contain information that would reveal sensitive information or raise security concerns.