

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:

Case Management Tracking Analysis & Reporting System (CMTARS)

2. DOD COMPONENT NAME:

United States Air Force

3. PIA APPROVAL DATE:

SAF/MRB

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.

CMTARS is an internet-based system that tracks cases, generates and stores documents, prepares reports and has advanced searching and lookup features. The entire Air Force Review Boards Agency (AFRBA) portfolio of approximately 15,000 cases per year is processed in the system. CMTARS allows SAF/MRB to comply with congressionally mandated timeliness standards, identify and document systemic issues, track AFRBA cases within and outside of our portfolio, standardize workflows and decisional documents and prepare reports to provide statistical data. CMTARS is all of the following: 1) Workflow Management System – Allows users to work quickly and closely (even from different physical locations) Training Tool – Tasks prompt users for next case action therefore, reducing one-on-one training time 2) Timeliness Regulator – Built-in suspense tracking identifies cases approaching or passing deadline 3) Reporting Engine – Ad hoc and historical reports 4) Document Generator and Manager – CMTS uses templates (Word Merge Documents) to standardize the outgoing product line 5) Search Engine for rapidly identifying – Critical case information and Multiple individual/related cases across Agency portfolio CMTARS supports electronic records, electronic voting, and eSignatures for the documentation of board decisions. CMTARS has no dependencies. CMTARS bridges performance gaps by leveraging technologies referred to above and by allowing management to identify and mitigate bottlenecks through advanced reporting. SAF/MRBR (JB Randolph), and AFFSC (Ellsworth). CMTARS is used by personnel at AFRBA as well as the Air Force Personnel Center (JB Randolph), Air Force Financial Services Center (Ellsworth), and The National Guard Bureau. CMTARS is the replacement system for the legacy CMTS application. The primary beneficiaries of CMTARS are active duty and retired service members from all services. CMTARS is managed by the AFRBA IT staff and OpenText Public Sector Services (OTPSS).

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)

Documents are collected and maintained to aid the Air Force Review Boards Agency (AFRBA) in rendering decisions on military and civilian personnel matters. The AFRBA reports directly to the Assistant Secretary of the Air Force for Manpower and Reserve Affairs (SAF/MR). The files are used to support the AF Discharge Review Board, AF Decoration Board, AF Personnel Board, AF Board for Correction of Military Records, AF Personnel Security Appeal Board, AF Clemency & Parole Board, AF Remissions Board, AF Foreign Government Employment Review Board, AF Civilian Appellate Review Office, Department of Defense Civilian and Military Service Review Board, Department of Defense Discharge Appeal Review Board, and the Department of Defense Physical Disability Board of Review.

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.

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.

For Department of Defense Physical Disability Board of Review, the Air Force Board for Correction of Military Records, and the Air Force Discharge Review Board, disclosure is voluntary. The individual submits a request to the Agency using DD Forms (DD149, DD293 & DD294). The remaining Air Force Review Boards receive requests from recommending authorities (MAJCOMs, NAFs, Wings, Group etc.) to process actions on an individual's record. If the member refuse to provide PII, request to review case files will not be conducted.

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. 1034, Protected Communications – Prohibition of Retaliatory Personnel Actions; 10 U.S.C. 1552, Correction of Military Records – Claims Incident Thereto; 10 U.S.C 1553, Review of discharge or dismissal; 10 U.S.C 1554a, Review of separation with disability rating of 20 percent disabled or less; 10 U.S.C. 1557, Timeliness standards for disposition of applications before Corrections Boards; 10 U.S.C. 1559, Personnel Limitation; 10 U.S.C. Chapter 48, Military Correctional Facilities; 10 U.S.C. Chapter 937, Decorations and Awards; 10 U.S.C. Chapter 1130, Consideration of Proposals for Decorations Not Previously Submitted in Timely Fashion; 10 U.S.C. 9013, Secretary of the Air Force, 10 U.S.C. 9837, Settlement of accounts: remission or cancellation of indebtedness of members; DoD Directive 1325.04, Confinement of Military Prisoners and Administration of Military Correctional Programs and Facilities; DoD Instruction 5200.2-R, Personnel Security Program; DoD Instruction 1348.33, DoD Military Decorations and Awards Program; DoD Directive 1332.41, Boards for Correction of Military Records and Discharge Review Boards; DoD Instruction 1332.28, Discharge Review Board Procedures and Standards; DoD Instruction 1325.07, Administration of Military Correctional Facilities and Clemency and Parole Authority; AFI 31-501, Personnel Security Program Management; AFI 36-1004, The Air Force Civilian Recognition Program; AFI 36-2023, The Secretary of the Air Force Personnel Council and the Air Force Personnel Board; AFI 36-2603, Air Force Board for Correction of Military Records; AFI 36-2706, Equal Opportunity Program Military and Civilian; AFI 36-3203, Service Retirements; AFI 31-205, The Air Force Corrections System; AFMAN 36-2806, Awards and Memorialization Program; AFD 36-28, Awards and Decorations Programs; HOI 36-28, Medal of Honor—Processing Nominations and Organizing Ceremonies; HAFMD 1-24, Assistant Secretary of the Air Force (Manpower and Reserve Affairs); E.O. 9397, (SSN), as amended.

ROUTINE USE:

- a. To the appropriate Federal, State, local, territorial, tribal, foreign, or international law enforcement authority or other appropriate entity where a record, either alone or in conjunction with other information, indicates a violation or potential violation of law, whether criminal, civil, or regulatory in nature.
- b. To any component of the Department of Justice for the purpose of representing the DoD, or its components, officers, employees, or members in pending or potential litigation to which the record is pertinent.
- c. In an appropriate proceeding before a court, grand jury, or administrative or adjudicative body or official, when the DoD or other Agency representing the DoD determines that the records are relevant and necessary to the proceeding; or in an appropriate proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding.
- d. To the National Archives and Records Administration for the purpose of records management inspections conducted under the authority of 44 U.S.C. §§ 2904 and 2906.
- e. To a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of, and at the request of, the individual who is the subject of the record.
- f. To appropriate agencies, entities, and persons for investigatory purposes, within the system when (1) the DoD suspects or has confirmed that there has been a breach of the system of records; (2) the DoD has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the DoD (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the DoD's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm.
- g. To another Federal agency or Federal entity, when the DoD determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.
- h. To the Department of Veterans Affairs (DVA) and the Department of Justice for the determination of rights and entitlement of the individuals concerned and for use in the enforcement of criminal or civil law.
- i. To contractors, grantees, experts, consultants, students, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for the federal government when necessary to accomplish an agency function related to this system of records.
- j. To victims, when a safety concern can be demonstrated by said victim, to the extent necessary to provide such persons with information and/or explanations concerning the progress and/or results of an investigation or case arising, from the matters of which they complained and/or of which they were a victim.
- k. To any component of the Department of Justice for the purpose of representing the DoD, or its components, officers, employees, or members in pending or potential litigation to which the record is pertinent.

1. To the General Account Office (GAO) for congressional purposes to carry out legislative, budget control, and oversight or review responsibilities.

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)

☒ Within the DoD Component

Specify.

CMTARS System Users. Approximately 550 users primarily at JB Andrews and Randolph AFB. Some additional users have limited access for Remissions cases (Ellsworth AFB) and several members of the General Council. Air Force National Guard

☒ Other DoD Components (i.e. Army, Navy, Air Force)

Specify.

Department of Army, Department of Navy & Marine Corps, Coast Guard, DoD Consolidated Adjudications Facility (CAF), Defense Office of Hearings and Appeals (DOHA), Office of the Secretary of Defense (OSD) organizations - Limited to personnel involved in case adjudication

☒ Other Federal Agencies (i.e. Veteran's Affairs, Energy, State)

Specify.

Department of Veterans Affairs (DVA), Department of Justice, National Archives and Records Administration (NARA); Secretary of the AF Legislative Liason (SAF/LL)

☐ 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.

OpenText Public Sector Services (OTPSS) and JYG

52.224-1 Privacy Act Notification.

As prescribed in 24.104, insert the following clause in solicitations and contracts, when the design, development, or operation of a system of records on individuals is required to accomplish an agency function:

Privacy Act Notification (Apr 1984)

The Contractor will be required to design, develop, or operate a system of records on individuals, to accomplish an agency function subject to the Privacy Act of 1974, Public Law 93-579, December 31, 1974 (5 U.S.C. 552a) and applicable agency regulations. Violation of the Act may involve the imposition of criminal penalties.

(End of clause)

52.224-2 Privacy Act.

As prescribed in 24.104, insert the following clause in solicitations and contracts, when the design, development, or operation of a system of records on individuals is required to accomplish an agency function:

Privacy Act (Apr 1984)

(a) The Contractor agrees to—

(1) Comply with the Privacy Act of 1974 (the Act) and the agency rules and regulations issued under the Act in the design, development, or operation of any system of records on individuals to accomplish an agency function when the contract specifically identifies—

(i) The systems of records; and

(ii) The design, development, or operation work that the contractor is to perform;

(2) Include the Privacy Act notification contained in this contract in every solicitation and resulting subcontract and in every subcontract awarded without a solicitation, when the work statement in the proposed subcontract requires the redesign, development, or operation of a system of records on individuals that is subject to the Act; and

(3) Include this clause, including this paragraph (3), in all subcontracts awarded under this contract which requires the design, development, or operation of such a system of records.

(b) In the event of violations of the Act, a civil action may

be brought against the agency involved when the violation concerns the design, development, or operation of a system of records on individuals to accomplish an agency function, and criminal penalties may be imposed upon the officers or employees of the agency when the violation concerns the operation of a system of records on individuals to accomplish an agency function. For purposes of the Act, when the contract is for the operation of a system of records on individuals to accomplish an agency function, the Contractor is considered to be an employee of the agency.

(c)(1) "Operation of a system of records," as used in this clause, means performance of any of the activities associated with maintaining the system of records, including the collection, use, and dissemination of rec

(2) "Record," as used in this clause, means any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, education, financial transactions, medical history, and criminal or employment history and that contains the person's name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a fingerprint or voiceprint or a photograph.

(3) "System of records on individuals," as used in this clause, means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

☐ 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 | |

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 checked="" type="checkbox"/> Official Form (Enter Form Number(s) in the box below) |
| <input checked="" type="checkbox"/> In-Person 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 checked="" type="checkbox"/> Website/E-Form |
| <input checked="" type="checkbox"/> Other (If Other, enter the information in the box below) | |

DD Form 149, Application for Correction of Military Record Under the Provisions of Title 10, U.S. Code, Section 1552
 DD Form 293, Application for the Review of Discharge from the Armed Forces of the United States
 DD Form 294, Application for a Review by the Physical Disability Board of Review (PDBR) of the Rating Awarded Accompanying a Medical Separation from the Armed Forces of the United States
 CMTARS, <https://cmtars.cce.af.mil/home/afrba/>

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 **F036 SAFCB A, Air Force Review Board**

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.

N1-AFU-90-15; DAA-GRS-2017-0007-0001; N1-AFU-88-32; DAA-GRS-2013-0003-0001; N1-AFU-90-03; N1-AFU-03-16

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

(3) Retention Instructions.

Table and Rule: T 36 - 12 R 01.02 - Air Force Discharge Review Board (Final Action) & Cassette Tapes of Hearing, AFBCMR Case File -- Destroy after 75 years

T 36 - 01 R 16.00 - Adverse Actions (Personnel) -- Destroy 5 years after case is closed

T 90 - 03 R 02.01 - Case Files -- Retire as permanent

T 64 - 01 R 01.00 - Contract Case Files -- Destroy 10 years after final payment

T 36 - 12 R 04.00 - Correction of Military Records -- Destroy When no Longer Needed

T 51 - 01 R 14.00 - Litigation -- Destroy after 25 years

Note 1: Among the dispositions cited in this field, the one with the longest retention time will be used on the system's records data.

Note 2: If any disposition cited in this field has a pending or unscheduled disposition, treat records as permanent retention until an approved NARA disposition is published."

Note 3: If any disposition cited in this field have a permanent retention, retain the records, and prepare for transfer to NARA as scheduled

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.

10 U.S.C. 1034, Protected Communications – Prohibition of Retaliatory Personnel Actions; 10 U.S.C. 1552, Correction of Military Records – Claims Incident Thereto; 10 U.S.C 1553, Review of discharge or dismissal; 10 U.S.C 1554a, Review of separation with disability rating of 20 percent disabled or less; 10 U.S.C. 1557, Timeliness standards for disposition of applications before Corrections Boards; 10 U.S.C. 1559, Personnel Limitation; 10 U.S.C. Chapter 48, Military Correctional Facilities; 10 U.S.C. Chapter 937, Decorations and Awards; 10 U.S.C. Chapter 1130, Consideration of Proposals for Decorations Not Previously Submitted in Timely Fashion; 10 U.S.C. 9013, Secretary of the Air Force, 10 U.S.C. 9837, Settlement of accounts: remission or cancellation of indebtedness of members; DoD Directive 1325.04, Confinement of Military Prisoners and Administration of Military Correctional Programs and Facilities; DoD Instruction 5200.2-R, Personnel Security Program; DoD Instruction 1348.33, DoD Military Decorations and Awards Program; DoD Directive 1332.41, Boards for Correction of Military Records and Discharge Review Boards; DoD Instruction 1332.28, Discharge Review Board Procedures and Standards; DoD Instruction 1325.07, Administration of Military Correctional Facilities and Clemency and Parole Authority; AFI 31-501, Personnel Security Program Management; AFI 36-1004, The Air Force Civilian Recognition Program; AFI 36-2023, The Secretary of the Air Force Personnel Council and the Air Force Personnel Board; AFI 36-2603, Air Force Board for Correction of Military Records; AFI 36-2706, Equal Opportunity Program Military and Civilian; AFI 36-3203, Service Retirements; AFI 31-205, The Air Force Corrections System; AFMAN 36-2806, Awards and Memorialization Program; AFD 36-28, Awards and Decorations Programs; HOI 36-28, Medal of Honor—Processing

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 collection required: Yes

OMB Control Number: 0704-0003

Title of Collection: DD Form 149, Application for Correction of Military Record Under the Provisions of Title 10, U.S. Code, Section 1552

Expiration Date: 12/31/2025

OMB collection required: Yes

OMB Control Number: 0704-0004

Title of Collection: DD Form 293, Application for the Review of Discharge from the Armed Forces of the United States

Expiration Date: 02/28/2026

OMB collection required: Yes

OMB Control Number: 0704-0453

Title of Collection: DD Form 294, Application for a Review by the Physical Disability Board of Review (PDBR) of the Rating Awarded Accompanying a Medical Separation from the Armed Forces of the United States

Expiration Date: 8/31/2024