

## 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:**

CORRECTIONS MANAGEMENT INFORMATION SYSTEM (CORMIS)

**2. DOD COMPONENT NAME:**

Department of the Navy

**3. PIA APPROVAL DATE:**

09/23/20

U.S. Navy - Bureau of Naval Personnel (BUPERS)

### 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 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.**

CORMIS is a government owned (USN) case management Web-application database with a robust statistical and analytical reporting tool that supports offender-management programs (confinement, deserter processing, mandatory appellate leave, parole and mandatory supervised release) and statutory public safety reporting requirements (sex offender processing, victim and witness notification, and DNA collection). CORMIS is used by all USN and USMC correctional facilities, USN and USMC detachments at USA regional correctional facilities, Navy and Marine Corps Appellant Leave Activity (NAMALA), and Navy Absentee Collection and Information Center (NACIC). CORMIS collects, tracks and manages data on housing, custody, rehabilitation and education programs, statutory sex offender and victim-witness notifications, Brady Bill reporting requirements, DNA collection, jobs, appointments, mental and physical health histories, offenses, court actions, sentences, supervised release and clemency reviews, transfers, and releases. CORMIS calculates confinement sentences and release dates, parole eligibility, supports non-judicial punishment, provides banking functionality for accountability of prisoner funds and valuables, and enhances the transfer of prisoners between correctional facilities. CORMIS serves as the DON electronic records repository for offender-management and public safety reporting programs. CORMIS uses Business Objects (report tool) to identify data entry errors for correctional staff correction purposes, creates task lists, daily change sheets, correctional logs, statistics, reports, and trend analysis used in manpower, program and budget planning.

PII collected: Name, Other Names Used, SSN (full and truncated), DoD ID Number, Citizenship, Legal Status, Gender, Race/Ethnicity, Birth Date, Place of Birth, Personal Cell Telephone Number, Home Telephone Number, Personal Email Address, Mailing/Home Address, Religious Preference, Security Clearance, Spouse Information, Marital Status, Biometrics, Child Information, Financial Information, Medical Information, Disability Information, Law Enforcement Information, Employment Information, Military Records, Emergency Contact Information, Education Information.

**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)

Verification: All information is collected to verify the identity of the individuals and to ensure correct records are maintained on prisoners.

**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.

The PII collected in CORMIS comes from official DoD forms (2700 series) completed by the prisoner, prisoner's command (Confinement Order, Initial Reviewing Officer, etc.), OJAG (court documents), and the Service Clemency and Parole Boards. A privacy act statement is a part of each DD form on which PII is collected.

Failure to provide requested information could impact the prisoner's Treatment Programs and other rehabilitative efforts as well as time in confinement where information concerning a release on parole is concerned.

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.

Once the information has been provided, consent has been given/assumed.

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

DD Form 2791 - AUTHORITY: 10 U.S.C. 951 (Note); 18 U.S.C. 2250; 42 U.S.C. 16911 et seq.; DoDI 1325.7; and E.O. 9397. PRINCIPAL PURPOSE(S): To record the offender's acknowledgment of receiving sex offender registration notice and information pertaining to this requirement, and to document an offender's expected place of residence following release. ROUTINE USE(S): To state and local law enforcement authorities for the purpose of notification that a sex offender will be residing in a local community and for the purpose of registering the individual as a sex offender. DISCLOSURE: Voluntary; however, failure to provide requested information may result in the denial of your request for parole or delay your release from confinement or military service. Required to provide this information to Federal, state and local law enforcement agencies, in accordance with Federal law (18 U.S.C. 2250).

DD Form 2764 - AUTHORITY: Executive Order 9397; Department of Defense Financial Management Regulation (DoDFMR) 7000.14-R, Vol. 5, Disbursing Policy and Procedures, and 31 C.F.R. 210. PRINCIPAL PURPOSE(S): This form is designed exclusively to help overseas and afloat DoD custodial officers account for and track funds and valuables placed in safekeeping. ROUTINE USE(S): The information on this form may be disclosed as generally permitted under 5 U.S.C. Section 552a(b) of the Privacy Act of 1974, as amended. It may also be disclosed outside of the Department of Defense to Federal, state, or local government agencies, which have identified a need to know, for the purpose(s) identified in the DoD Blanket Routine Uses as published in the Federal Register. DISCLOSURE: Voluntary; however, failure to provide the requested information may result in refusal to accept funds and valuables for safekeeping.

DD Form 2710 - AUTHORITY: Chapter 48, title 10 U.S.C., Military Correctional Facilities, and DoD Instruction 1325.07. PRINCIPAL PURPOSE(S): To collect a new prisoner's personal history to assist in the classification and assignment process. The information will also be used to evaluate progress toward rehabilitation or suitability for parole or clemency. ROUTINE USE(S): To the Department of Justice and U.S. Probation Officers for annual statistical data analysis. To the Bureau of Prisons (BOP) when a prisoner is transferred to its custody for incarceration. DISCLOSURE: Voluntary; however, failure to provide the requested information may prevent the staff of the correctional facility from fully evaluating the prisoner.

DD Form 2715-3 - AUTHORITY: 10 U.S.C. 874(a), 952-954; DoD Instruction 1325.07; and E.O. 9397. PRINCIPAL PURPOSE(S): To allow official military personnel to review requests for restoration/return to duty, clemency, or parole and provide recommendations to the appropriate Military Service Clemency and Parole Board. ROUTINE USE(S): The DoD "blanket routine uses" found at [http://dpclo.defense.gov/privacy/SORNS/blanket\\_routine\\_uses.html](http://dpclo.defense.gov/privacy/SORNS/blanket_routine_uses.html) apply to the completed form. DISCLOSURE: Voluntary; however, failure to provide the requested information may prevent the Board from considering your eligibility for clemency or parole.

DD Form 2716 - AUTHORITY: 10 U.S.C. Section 951, P.L. 90-377, and E.O. 9397. PRINCIPAL PURPOSE(S): To notify an offender of approval for parole release and record the individual's acceptance or rejection of parole. This form is also used by the Service Clemency and Parole Board to notify an offender of negative determination and to record an offender's decision to appeal or not appeal the decision denying parole. ROUTINE USE(S): To the Department of Justice, in instances where the prisoner is incarcerated in a Federal Bureau of Prisons facility, and to inform U.S. Probation Officers and the Administrative Office of the U.S. Courts of the Conditions of Supervised Release. DISCLOSURE: Voluntary; however, failure to provide the requested information may result in denial of parole or forfeiture of opportunity to elect appeal rights as to parole denial.

DD Form 2716-1 - AUTHORITY: 10 U.S.C. 952, P.L. 90-377, and E.O. 9397. PRINCIPAL PURPOSE(S): To certify an offender for Supervised Release from confinement, notify the individual of the Conditions of Supervised Release, and record the individual's release from confinement and placement on Supervised Release. ROUTINE USE(S): To the Department of Justice, in instances where the prisoner is incarcerated in a Federal Bureau of Prisons facility, and to inform U.S. Probation Officers and the Administrative Office of the U.S. Courts of the Conditions of Supervised Release. DISCLOSURE: Voluntary; however, failure to provide the requested information as required in

DD Form 2717 - AUTHORITY: Title 10 U.S. Code, Sections 859 - 876A. PRINCIPAL PURPOSE: The information will be used to notify

**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.

USN Corrections HQ (PERS-00D), USN Corrections brig, USMC Corrections HQ, USMC Corrections brig and Navy and Marine Corps Appellate Leave Activity (NAMALA) enter and retrieve information in CORMIS. Naval Air Warfare Center Training Systems Division (NAWCTSD (developer)).

Other DoD Components

Specify.

Other Federal Agencies

Specify.

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.

Due to being hosted behind BUPERS Online (BOL), there are four vendors that support this application (Aries, SAIC, Capstone and Booze-Allen Hamilton). It has been verified that all required FAR clauses and DFAR language has been added to the contracts.

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

Directly from the individual and all PII is captured on DD Forms (2700 series).

**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)

DD Forms (2700 series).

**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

NM01640-1

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.

DAA-NU-2019-0012-000

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

(3) Retention Instructions.

CORMIS records are scheduled under SSIC 1000-10 and are PERMANENT records. Cutoff at CY. Transfer to NARA 15 years after cutoff.

**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.

SORN NM01640-1, Individual Confinement Records (July 12, 2013, 78 FR 41921), authorities:

10 U.S.C. 951, Military Correctional Facilities Establishment; Organization; Administration  
10 U.S.C. 5013, Secretary of the Navy  
10 U.S.C. 1565, DNA Identification Information  
10 U.S.C. 10601 et seq., Victim's Rights and Restitution Act of 1990 as implemented by DoD Instruction 1030.2, Victim and Witness Assistance Program  
E.O. 9397 (SSN), as amended.

Other authorities:

DoDI 1325.07 3/11/2013 ADMINISTRATION OF MILITARY CORRECTIONAL FACILITIES AND CLEMENCY AND PAROLE AUTHORITY

SECNAV 1640.9C DEPARTMENT OF THE NAVY CORRECTIONS MANUAL

**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.

OPNAV DNS-15 confirmed that an OMB Control Number is not required because CORMIS does not collect data from the public.