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:				
Natus NeuroWorks SleepWorks Version 9.x AA Enterprise				
2. DOD COMPONENT NAME:		3. PIA APPROVAL DATE:		
Defense Health Agency		03/21/24		
CyberLogistics (CyberLOG)				
SECTION 1: PII DESCRIPTION S	UMMARY (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			
x 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			
X Existing DoD Information System	Existing Electronic Collection			
Significantly Modified DoD Information System				
collected in the system. The Natus NeuroWorks SleepWorks Version 9.x AA (NeuroSleepWks) is Electroencephalogram (EEG) and Polysomnogram (PSG) is a software that allows for the acquisition, display, archive, review and analysis of physiological signals to assist in the diagnosis of neurological and sleep disorders. It is used for the acquisition of biometric data from EEG eletrodes and related sensors to diagnose various sleep disorders. The system comprises of Hardware, Software and Firmware, which includes Natus NeuroSleepWks, Natus Quantum II Base Unit and associated amplifiers, Natus Trex HD Ambulatory EEG family of systems. It also includes Acquisition PC, Windows 10 64-bit, Patient Data Server, Windows Server 2019, Natus Base Unit, and Yocto Project Linux and Axis M5525-E Network PTZ Camera, Axis OS LTS 2018. The Personally Identifiable Information (PII) and Protected Health Information (PHI) collected includes name. The categories of individuals from whom PII is collected include Active Duty Military, Retirees, their family members, and Federal employees. Cybersecurity Logistics (CyberLOG) is responsible for the Risk Management Framework (RMF) process and gaining an approval from Defense Health Agency's Risk Management Executive Division (DHA RMED). The Military Treatment Facilities (MTFs) are responsible for day-to-day operations, maintenance, and management of the NeuroSleepWks. MTF personnel are responsible for ensuring the devices are configured to meet CyberLOG and RMED approved configurations. NeuroSleepWks is owned by CyberLOG Enterprise and operated by various MTFs as needed.				
d. Why is the PII collected and/or what is the intended use of the PII? (e administrative use)	g., verification, identification, authentication, (nata matching, mission-related use,		
PII is collected based on each MTF's need.				
e. Do individuals have the opportunity to object to the collection of their	PII? Yes X No			
(1) If "Yes," describe the method by which individuals can object to the collection	tion of PII.			
(2) If "No," state the reason why individuals cannot object to the collection of	PII.			
Individuals do not have the opportunity to object to the collection of	heir PII as NeuroSleepWks MDE is not	the initial point of collection.		
f. Do individuals have the opportunity to consent to the specific uses of	their PII? Yes X No			
(1) If "Yes," describe the method by which individuals can give or withhold th	eir consent.			
(2) If "No," state the reason why individuals cannot give or withhold their con-	sent.			
Individuals do not have the opportunity to consent to the specific use	s of their PII as NeuroSleepWks MDE is	not the initial point of		

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 working.) Privacy Act Statement Privacy Advisory is not provided to individual for NeuroSteepWks MDE as it is not the initial point of PII collected in the spuly. In With whom will the PII be shared through dataleystem exchange, both within your DoD Component and outside your Component? (Check at that spuly in the DoD Components (i.e. Arm., Navy, Air Force) Specify. Other Pederal Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) State and Local Agencies (i.e. Veteran's Affeirs, Energy, State) The MTP's may utilize contractor services to support this product. DoD policy requires such contract in base access to PHI, a Health Insurance Portability and Accountability Act The Affeirs of Contractor and describe the language in the contract in base access to PHI, a Health Insurance Portability and Accountability Act Through Act and FAR 39:103 are included in the contract) Specify. Other (i.e., commercial providers, colleges). Specify. Speci	coll	ection.				
Privacy Act Statement						
Privacy Act Statement and/or Privacy Advisory is not provided to individual for NeuroSleepWks MDE as it is not the initial point of PII collection. Number Numbe			(PAS) and/	or a Privacy Advisory must be provided. (Check as appropriate and		
h. With whom will the Pil be shared through data/system exchange, both within your DoD Component and outside your Component? (Check all that apply) Within the DoD Component (i.e. Army, Navy, Air Force) Specify Other DoD Components (i.e. Army, Navy, Air Force) Specify Other Federal Agencies (i.e. Veteran's Affairs, Energy, State) Specify State and Local Agencies (i.e. Veteran's Affairs, Energy, State) Specify Contractor (Name of contractor and describe the language in the contract that safeyaurats Pil. Include whether FAIR privacy and Notice (South State) Contractor (Name of contractor and describe the language in the contract that safeyaurats Pil. Include whether FAIR privacy and Notice (South State) Contractor (Name of contractor and describe the language in the contract that safeyaurats Pil. Include whether FAIR privacy and Notice (South State) Contractor (Name of contractor and describe the language in the contract that safeyaurats Pil. Include whether FAIR privacy and Notice (South State) Contractor (Name of contractor and describe the language in the contract that safeyaurats Pil. Include whether FAIR privacy and Notice (South State) Contractor (Name of contractor and describe the language in the contract that safeyaurats Pil. Include whether FAIR privacy and Notice (South State) Contractor (Name of contractor and describe the language in the contract that safeyaurats Pil. Include whether FAIR privacy and Notice (South State) Contracts (Name of contractor and describe the language in the contract that safeyaurats Pil. Include whether FAIR privacy and Notice (South Include) Contracts (Name of contractor and page states) Nature (III) Contracts (Name of contractor and page states) Nature (III) Contracts (Name of contractor and describe the language in the contract Include Industrial Nature (III) Contracts (Name of contractor and describe the language in the contractor and the Industrial Nature (IIII) Contractor (Name of contractor and describe the language in the contractor and the Indu		Privacy Act Statement Privacy Advisory	X	Not Applicable		
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State and Local Agencies The MTFs may utilize contractor services to support this product. DoD policy requires such contracts include language to safeguard PII including FAR clauses: 52.224-1, Privacy Act and FAR 39.105 privacy. When the contract has access to PIII, a licalth insurance Portability and Accountability Act (HIPAA) Business Associate Agreement is also required. Contract language states: Nature agrees for NeuroSleepWks MDE to use administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and astative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected health information (ePIII) or PII that it creates, receives, maintains, stores, and transmits in the execution of their Contracts. Specify. Individuals Existing DoD Information Systems Other Federal Information System of electronic collection require a Privacy Act System of Records Notice (SORN)? Privacy Act SORN is required if the information system or electronic collection contains information must be consistent.		Other DoD Components (i.e. Army, Navy, Air Force)	Specify			
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i. Source of the PII collected is: (Check all that apply and list all information systems if applicable) Individuals Existing DoD Information Systems Other Federal Information Systems HL7 connected to any EMR 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) In-Person Contact Paper Fax Telephone Interview Information Sharing - System to System Website/E-Form 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.	×	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,		The MTFs may utilize contractor services to support this product. DoD policy requires such contracts include language to safeguard PII including FAR clauses: 52.224-1, Privacy Act Notification; 52.224-2, Privacy Act; and FAR 39.105, Privacy. When the contractor has access to PHI, a Health Insurance Portability and Accountability Act (HIPAA) Business Associate Agreement is also required. Contract language states: Natus agrees for NeuroSleepWks MDE to use administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected health information (ePHI) or PII that it creates, receives, maintains, stores, and transmits in the execution of		
Individuals		Other (e.g., commercial providers, colleges).	Specify			
Existing DoD Information Systems	i. Source of the PII collected is: (Check all that apply and list all information systems if applicable)					
Other Federal Information Systems HL7 connected to any EMR		Individuals		Databases		
HL7 connected to any EMR J. How will the information be collected? (Check all that apply and list all Official Form Numbers if applicable) E-mail	X	Existing DoD Information Systems		Commercial Systems		
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) In-Person Contact Paper Fax Telephone Interview Information Sharing - System to System Website/E-Form 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.		Other Federal Information Systems				
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E-mail		, connected to any EMIC				
In-Person Contact	j. How will the information be collected? (Check all that apply and list all Official Form Numbers if applicable)					
□ Fax □ Telephone Interview ☑ Information Sharing - System to System □ Website/E-Form □ 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	П	E-mail		Official Form (Enter Form Number(s) in the box below)		
□ Fax □ Telephone Interview ☑ Information Sharing - System to System □ Website/E-Form □ 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		In-Person Contact		Paper		
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ii red, enter contragatem dentale.	is <u>retrieved</u> by name or other unique identifier. PIA and Privacy Act SORN information must be consistent. Yes X No					
	' 	55, S.I.S. SOLAT System Mortalist				

SORN Identifier, not the Federal Register (FR) Citation. Consult the DoD Component Privacy Office for additional information or http://dpcld.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.				
A SORN is not necessary because NeuroSleepWks does not collect information directly from an individual, thus, individuals may not receive a Privacy Act Statement. Although the definition of a system of record is not dependent on the source of collection of PII, DoD policy states that "information obtained without a Privacy Act Statement shall not be incorporated into any system of records." As such, a SORN is not required.				
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. GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)				
(2) If pending, provide the date the SF-115 was submitted to NARA.				
(3) Retention Instructions.				
FILE NUMBER: 103-14 DISPOSITION: Temporary. Delete no more than 7 years from the date last modified. (See DoD DTM 22-001 on default disposition policies and OSD Records Manager guidance which file number to associate).				
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 statue or Executive Order.				
 If this system has a Privacy Act SORN, the authorities in this PIA and the existing Privacy Act SORN should be similar. 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.				
5 U.S.C. 301, Departmental Regulations; 10 U.S.C. 136, Under Secretary of Defense for Personnel and Readiness; 10 U.S.C. Ch. 55, Medical and Dental Care; 32 CFR Part 199, Civilian Health and Medical Program of the Uniformed Services (CHAMPUS); DoDI 6025.18, Privacy of Individually Identifiable Health Information in DoD Health Care Programs; DoDM 6025.18, Implementation of the HIPAA Privacy Rule in DoD Health Care Programs.				
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 X 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. 				
NeuroSleepWks does not require OMB approval since information is not directly collected from members of the public.				