

## 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:**

DoD North Chicago Enterprise Service Bus (ESB)

**2. DOD COMPONENT NAME:**

Defense Health Agency

**3. PIA APPROVAL DATE:**

12/19/23

Defense Healthcare Management System Modernization (DHMSM) Project Management Office (PMO)

### 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.**

The Department of Defense (DoD) North Chicago Enterprise Service Bus (ESB) application provides synchronization and/or mapping to support message translation between patient registration and/or patient lookup and laboratory, radiology, and outpatient medication orders entered in the Composite Health Care System (CHCS) or the Department of Veterans Affairs' (VAs') Veterans Health Information Systems and Technology Architecture (VistA)/Computerized Patient Record System (CPRS). The DoD Orders Portability Service (OPS) project supports bidirectional exchange of orders and results between the DoD's ESB and the VA's ESB. The Defense Enrollment Eligibility Reporting System (DEERS) interface is used to perform patient lookups as part of the Joint Registration and Order Portability interfaces. It uses the standard DEERS enterprise service that other Military Health System (MHS) systems use.

The DoD North Chicago ESB shuttles encrypted Personally Identifiable Information (PII) without storing any data. The types of PII include demographic information, personal contact information, military records, Social Security Numbers (SSNs), religious preference, insurance information, medical information, Protected Health Information (PHI), and other identification information. The PII/PHI is from the following categories of individuals: active duty service members and retirees of the uniformed services, their family members, survivors, members of the National Guard and Reserves and their families.

The Defense Healthcare Management System Modernization (DHMSM) Project Management Office (PMO) owns and manages this system.

**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)

DoD North Chicago Enterprise Service Bus (ESB) routes PHI/PII between the various DoD and VA systems with which ESB interfaces, to match patients with their correct records and enhance the timely and high-quality provision of health care services.

**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.

Individuals do not have the opportunity to object to the collection of their PII as the DoD North Chicago ESB is not the initial point of collection.

**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.

Individuals do not have the opportunity to give or withhold consent to specific uses of their PII as the DoD North Chicago ESB is not the initial point of collection.

**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

DoD North Chicago ESB does not collect PII directly from individuals; therefore, no Privacy Act Statement or Privacy Advisory is required.

**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. | DHA Health Affairs, Military Treatment Facilities (MTFs), and Personnel & Readiness |
| <input checked="" type="checkbox"/> Other DoD Components (i.e. Army, Navy, Air Force)   | Specify. | Defense Manpower Data Center (DMDC)   |
| <input checked="" type="checkbox"/> Other Federal Agencies (i.e. Veteran's Affairs, Energy, State)  | Specify. | VA/Veterans Health Administration (VHA)   |
| 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. |   |
| 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          |
| <input checked="" type="checkbox"/> Existing DoD Information Systems  | Commercial Systems |
| <input checked="" type="checkbox"/> Other Federal Information Systems |                    |

Existing DoD Information Systems:

Defense Enrollment Eligibility Reporting System (DEERS)

Composite Health Care System (CHCS) \*\*Note that CHCS will be replaced by MHS GENESIS\*\*

Other Federal Information Systems:

Veterans Affairs Enterprise Service Bus (ESB)

Veterans Affairs Veterans Health Information Systems and Technology Architecture (Vista)

Veterans Affairs Computerized Patient Record System (CPRS)

**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                                   |
| <input checked="" type="checkbox"/> 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

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.

Applicable System of Records Notice (SORN): DOD NC ESB will not collect any personally identifiable information (PII) directly from individuals to be stored in a system of records and retrieved by a personal identifier. Therefore, no SORN is necessary.

**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 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. Chapter 55, Medical and Dental Care; 42 U.S.C Chapter 117, Subchapters II and III, Reporting of Information, Definitions and Reports; National Defense Authorization Act for Fiscal Year 2014, Pub. L. No. 113-66, Section 525; 32 CFR 199, Civilian Health and Medical Program for the Uniformed Services (CHAMPUS); DoDI 6015.23, Foreign Military Personnel Care and Uniform Business Offices in Military Treatment Facilities (MTFs); and E.O. 9397 (SSN), as amended.

**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.

ESB does not directly collect information from individuals. This system does not collect information as defined by the Paperwork Reduction Act (PRA) of 1995.