

# 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:**

DHA Silver Spring Research & Engineering (R&E)

**2. DOD COMPONENT NAME:**

Defense Health Agency

**3. PIA APPROVAL DATE:**

06/24/24

## 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 DHA Silver Spring Research and Engineering (DHASS) Directorate leads the discovery of innovative medical solutions responsive to the needs of Combatant Commands, the military Services, and the Military Health System by guiding research investments in military health and medicine that lead to solutions for enhancing future warfighter health and readiness. DHASS manages the enterprise research portfolio to improve medical care for service members, their families, and all Military Health System beneficiaries. R&E drives the discovery of new capabilities to improve medical care through management of the Defense Health Program (DHP) Research, Development, Test and Evaluation (RDT&E) appropriations that support the health and medical mission of the MHS. DHASS shepherds' innovative medical materiel products and clinical practice knowledge solutions from concept to product development. The directorate also oversees several MHS centers of excellence, established to help the Department of Defense speed the advancement of scientific knowledge and evidence-based practices to diagnose and treat diseases and conditions that impact service members and other beneficiaries. DHASS gathers, consolidates, and prioritizes needs and gaps in research areas and clinical practice; partners with academic institutions, private industry, research organizations, and government to undertake research and clinical investigations; and translates research results into practical/clinical knowledge for products and policy recommendations to improve care.

PII being collected include:

- Home/Cell Phone
- Mailing/Home Address
- Work E-mail Address
- Birth Date
- Personal E-mail Address
- Name(s)

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**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)

- The PII is collected for identification purposes to match individuals with their records and reports.
- The collected PII will be used for administrative and mission-related purposes to provide government oversight and fulfill contracting requirements.

**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.

DHASS receives PII from system-to-system interface; therefore, the opportunity to object is only available at the source system.

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.

DHASS receives PII from system-to-system interface; therefore, the opportunity to object is only available at the source system.

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

DHASS does not collect PII directly from individuals. Therefore, no Privacy Act Statement or 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)

- Within the DoD Component 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 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
- Existing DoD Information Systems  Commercial Systems
- Other Federal Information 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.

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.dod.mil/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.

DHASS does not collect and maintain records about an individual where the records is retrieved by the individual's name, number or unique identifier IAW the Privacy Act of 1974, as amended. (Chapter 55 of Title 10 USC, §1071 - 1106.)

**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.

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

(3) Retention Instructions.

The LAN/Enclave itself does not have a NARA approved, pending, or GRS authority and retention instructions applied as a whole. Refer to NARA approved, pending, or GRS authority and retention instruction specific to the systems, applications, electronic collections, file servers, and share drives contained within the LAN/Enclave.

**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.

- Section 113, Title 10 United States Code: Secretary of Defense
- Public Law 106-107, Federal Financial Assistance Management Improvement Act
- Federal Acquisition Regulations, Part 4.5
- DoD Directive 3210.06, Defense Grant and Agreement Regulatory System (DGAR)
- Authority: Executive Order 10450. 9397; and Public Law 99-474, the Computer Fraud and Abuse Act.

**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.

The information collected within this system does not collect PHI/PII directly from individuals of the general public; however, the system components, applications, or electronic collections within, in accordance with DoDM 8910.01, Volume 2, Enclosure 3, paragraph 8b(5).