



PRIVACY IMPACT ASSESSMENT (PIA)

For the

Submariner Epidemiology Research Program (SERP)

Department of the Navy - DHP Funded System - BUMED

SECTION 1: IS A PIA REQUIRED?

a. Will this Department of Defense (DoD) information system or electronic collection of information (referred to as an "electronic collection" for the purpose of this form) collect, maintain, use, and/or disseminate PII about members of the public, Federal personnel, contractors or foreign nationals employed at U.S. military facilities internationally? Choose one option from the choices below. (Choose (3) for foreign nationals).

- (1) Yes, from members of the general public.
- (2) Yes, from Federal personnel* and/or Federal contractors.
- (3) Yes, from both members of the general public and Federal personnel and/or Federal contractors.
- (4) No

* "Federal personnel" are referred to in the DoD IT Portfolio Repository (DITPR) as "Federal employees."

b. If "No," ensure that DITPR or the authoritative database that updates DITPR is annotated for the reason(s) why a PIA is not required. If the DoD information system or electronic collection is not in DITPR, ensure that the reason(s) are recorded in appropriate documentation.

c. If "Yes," then a PIA is required. Proceed to Section 2.

SECTION 2: PIA SUMMARY INFORMATION

a. Why is this PIA being created or updated? Choose one:

- New DoD Information System New Electronic Collection
- Existing DoD Information System Existing Electronic Collection
- Significantly Modified DoD Information System

b. Is this DoD information system registered in the DITPR or the DoD Secret Internet Protocol Router Network (SIPRNET) IT Registry?

- Yes, DITPR Enter DITPR System Identification Number
- Yes, SIPRNET Enter SIPRNET Identification Number
- No

c. Does this DoD information system have an IT investment Unique Project Identifier (UPI), required by section 53 of Office of Management and Budget (OMB) Circular A-11?

- Yes
- No

If "Yes," enter UPI

If unsure, consult the Component IT Budget Point of Contact to obtain the UPI.

d. 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 should be consistent.

- Yes
- No

If "Yes," enter Privacy Act SORN Identifier

DoD Component-assigned designator, not the Federal Register number.
Consult the Component Privacy Office for additional information or
access DoD Privacy Act SORNs at: <http://www.defenselink.mil/privacy/notices/>

or

Date of submission for approval to Defense Privacy Office

Consult the Component Privacy Office for this date.

e. Does this DoD information system or electronic collection have an 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

Enter OMB Control Number

Enter Expiration Date

No

f. Authority to collect information. A Federal law, Executive Order of the President (EO), or DoD requirement must authorize the collection and maintenance of a system of records.

(1) If this system has a Privacy Act SORN, the authorities in this PIA and the existing Privacy Act SORN should be the same.

(2) 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) Whenever possible, cite the specific provisions of the statute and/or EO that authorizes the operation of the system and the collection of PII.

(b) If a specific statute or EO does not exist, determine if an indirect statutory authority can be cited. An indirect 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) 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 should be identified.

SORN Authorities:

1) N06150-2 - Health Care Record System

5 U.S.C. 301, Departmental Regulations

10 U.S.C. 1095, Collection from Third Party Payers Act

10 U.S.C. 5131, as amended, Bureaus: names; location

10 U.S.C. 5132, Bureaus: distribution of business; orders; records; expenses

44 U.S.C. 3101, Records management by agency heads; general duties

10 CFR part 20, Standards for Protection Against Radiation

E.O. 9397 (SSN), as amended

2) NM06150-3 - Health/Dental Research Center Data File

10 U.S.C. 5013, Secretary of the Navy

10 U.S.C. 3013, Secretary of the Army

10 U.S.C. 8013, Secretary of the Air Force

10 U.S.C. 5041, Headquarters, Marine Corps

14 U.S.C. 93, Commandant, U.S. Coast Guard General Powers

E.O. 9397 (SSN), as amended

g. Summary of DoD information system or electronic collection. Answers to these questions should be consistent with security guidelines for release of information to the public.

(1) Describe the purpose of this DoD information system or electronic collection and briefly describe the types of personal information about individuals collected in the system.

Data contained in the SERP will be used to perform evidence-based submariner epidemiology research by focusing on both medical events that have an immediate and direct impact on submarine duties (i.e., medevacs, discharges, waivers, disqualifications), and long term health outcomes related to submarine service. The study will utilize data already collected in existing TRICARE Management Activity, Department of Navy, Armed Forces, Defense Manpower Data Center, and National Center for Health Statistics (CDC) administrative databases and merge them, where appropriate, for directed analyses to examine potential associations between risk factors (including demographics, military characteristics, and potential environmental exposures) and short term and long term health outcomes. No new data are being collected; this will be a secondary collection of existing databases.

PII collected about individuals include:

1. Names (first, last, middle, maiden)
2. Social Security Numbers (SSN)
3. Date of birth and place of birth
4. DEERS Electronic Data Interchange Personal Identifier (EDIPI)
5. Medical Information (inpatient and outpatient medical encounter dates, ICD-9 and procedure codes, medical record numbers, dates and reasons for medical evacuation from submarines, medical waivers for submarine duty, date and cause/manner of death)
6. Disability Information (dates of disability and findings of disability evaluation boards)
7. Demographics (gender, race/ethnicity, marital status, height, weight, citizenship)
8. Military records (Unit Identification Code (UICs) and dates of assignment, duty stations and dates of assignment, entry date, separation date, component, branch, rank, pay grades, occupations, training, Armed Services Vocational Aptitude Battery (ASVAB) score)
9. Financial Information (pay rates, bonuses linked to submarine service, separation indicators and/or pay)
10. Education Information: military education history (including dates), highest education level attained

(2) Briefly describe the privacy risks associated with the PII collected and how these risks are addressed to safeguard privacy.

All systems are vulnerable to "insider threats". The SERP manager is vigilant to this threat by limiting system access to those individuals who have a defined need to access the information. There are defined criteria to identify who should have access to SERP. These individuals have gone through extensive background and employment investigations.

h. With whom will the PII be shared through data exchange, both within your DoD Component and outside your Component (e.g., other DoD Components, Federal Agencies)? Indicate all that apply.

Within the DoD Component.

Specify.

Naval Submarine Medical Research Laboratory (NSMRL)

Other DoD Components.

Specify.

Other Federal Agencies.

Specify.

State and Local Agencies.

Specify.

Contractor (Enter name and describe the language in the contract that safeguards PII.)

Specify.

Science Applications International Corporation (SAIC), Henry M. Jackson Foundation. Both contracts contain standard Business Associate Agreement (BAA) language requiring the contractors to abide by all applicable HIPAA Privacy and Security requirements, as well as those in DoD 6025.18-R and DoD 8580.02-R, as amended.

Other (e.g., commercial providers, colleges).

Specify.

i. Do individuals have the opportunity to object to the collection of their PII?

Yes

No

(1) If "Yes," describe method by which individuals can object to the collection of PII.

(2) If "No," state the reason why individuals cannot object.

SERP does not collect PII directly from individuals.

j. 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.

SERP does not collect PII directly from individuals.

k. What information is provided to an individual when asked to provide PII data? Indicate all that apply.

- | | |
|---|--|
| <input type="checkbox"/> Privacy Act Statement | <input type="checkbox"/> Privacy Advisory |
| <input type="checkbox"/> Other | <input checked="" type="checkbox"/> None |

Describe each applicable format.

SERP does not collect PII directly from individuals.

NOTE:

Sections 1 and 2 above are to be posted to the Component's Web site. Posting of these Sections indicates that the PIA has been reviewed to ensure that appropriate safeguards are in place to protect privacy.

A Component may restrict the publication of Sections 1 and/or 2 if they contain information that would reveal sensitive information or raise security concerns.