

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:

Defense Occupational and Environmental Health Readiness System – Hearing Conservation (DOEHRS-HC)

2. DOD COMPONENT NAME:

Defense Health Agency

3. PIA APPROVAL DATE:

11/09/22

Program Executive Office (PEO) Medical Systems (J-6)

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.

Defense Occupational and Environmental Health Readiness System – Hearing Conservation (DOEHRS-HC) is a database application used to manage the Hearing Conservation Program (HCP) within the Department of Defense (DoD) as well as hearing readiness programs, as applicable. The Defense Occupational and Environmental Health Readiness System – Hearing Conservation (DOEHRS-HC) is an information system designed to support personal auditory readiness and help prevent hearing loss through early detection. The full system consists of the government-developed DOEHRS-HC application and Commercial-Off-The-Shelf (COTS) audiometer software. The audiometer software is integrated into the DOEHRS-HC system, to conduct one to eight hearing tests quickly, easily, and accurately. DOEHRS-HC receives audiometric test results from the audiometer software, analyzes the test results, and determines whether a significant hearing loss exists or if changes in hearing have occurred. DOEHRS-HC is accessed at multiple sites including Military Treatment Facilities (MTFs), theater, and at sea.

DOEHRS-HC collects Personally Identifiable Information (PII) and Protected Health Information (PHI) regarding personal descriptors, medical information, security information, social security number, and duty status information for military personnel and supporting civilian staff (i.e., Active Duty, Reserve, Guard, and civilian staff).

DOEHRS-HC is owned and managed by Defense Health Agency, DADIO (J6), Solution Delivery Division, Clinical Support Program Management Office.

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)

PII is collected by DOEHRS-HC for verification purposes. The intended use of this PII is to verify a patient's identity when sitting for hearing tests.

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.

Submission of requested information is voluntary. Individuals are informed of the specific uses of the PII being collected and may object to the collection of their PII, either verbally or in writing, based on the procedures in place at the local facility where the data is collected and maintained. If an individual chooses not to provide their information no penalty may be imposed; however, failure to provide the requested information may result in removal from their duties and/or administrative delays.

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.

Submission of requested information is voluntary. Individuals are informed of the specific uses of the PII being collected and may consent to specific uses of their PII, either verbally or in writing, based on the procedures in place at the local facility where the data is collected and maintained. If an individual chooses not to provide their information no penalty may be imposed; however, failure to provide the requested information may result in removal from their duties and/or administrative delays.

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

AUTHORITY: 5 U.S.C. 301, Departmental Regulations; 10 U.S.C. 136, Under Secretary of Defense for Personnel and Readiness; Public Law 104-191, Health Insurance Portability and Accountability Act of 1996; 10 U.S.C., Ch. 55, Medical and Dental Care; 10 U.S.C. 1074f, Medical Tracking System for Members Deployed Overseas; DoD Directive 6490.02E, Comprehensive Health Surveillance; DoD Instruction 6490.03, Deployment Health; and DoD Instruction 6055.12, Hearing Conservation Program; 42 U.S.C. 290dd-2, Confidentiality Of Records; 42 U.S.C. Ch. 117, Sections 11131-11152, Reporting of Information; 45 CFR 164, Security and Privacy; Department of Defense (DoD) Instruction 6015.23, Foreign Military Personnel Care and Uniform Business Offices in Military Treatment Facilities (MTFS); DoD Manual 6025.18, Implementation of the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule in DoD Health Care Programs; and E.O. 9397 (SSN), as amended.

PURPOSE: Defense Occupational and Environment Health Readiness System – Hearing Conservation (“DOEHRS-HC”) collects your hearing related information to evaluate your hearing ability, to determine decreases, if any, and to prevent hearing loss. It supports DoD’s Hearing Conservation Program management efforts and other applicable hearing readiness programs.

ROUTINE USES: These records may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. § 552a(b)(3) as follows: to contractors and others performing or working for the Federal Government when necessary to accomplish an agency function related to this System of Records; to the Department of Health and Human Services, other federal agencies, and academic institutions for the purposes of public health activities and conducting research; to the Department of Veteran’s Affairs (VA) for the purpose of providing medical care, to determine the eligibility for benefits, to coordinate cost sharing activities, and to facilitate collaborative research activities between the DoD and VA; to the National Research Council and other similar institutions for authorized health research; to local and state government and agencies for compliance with local laws and regulations governing public health and welfare programs; and, among others, to federal offices and agencies involved in the documentation and review of defense occupational and environment exposure data. For a complete listing of the Routine Uses for this system, refer to the applicable SORN hyperlinked below.

Any protected health information (PHI) in your records may be used and disclosed generally as permitted by the HIPAA Rules, as implemented within DoD. Permitted uses and disclosures of PHI include, but are not limited to, treatment, payment, and healthcare operations.

APPLICABLE SORN: EDHA 07, Military Health Information System (June 15, 2020; 85 FR 36190) <https://dpclld.defense.gov/Portals/49/Documents/Privacy/SORNs/DHA/EDHA-07.pdf>

DISCLOSURE: Voluntary. If you choose not to provide the requested information, there may be an administrative delay; however, no penalty may be imposed.

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. The DoD Hearing Center of Excellence (HCE)
☒ Other DoD Components (i.e. Army, Navy, Air Force)	Specify. The Defense Manpower Data Center (DMDC); The Army Public Health Center (APHC); The Navy & Marine Corp Public Health Center (NMCPHC); The Air Force Public Health Center (AFPHC)
☒ Other Federal Agencies (i.e. Veteran’s Affairs, Energy, State)	Specify. The Department of Veterans Affairs (VA) (via HCE)
State and Local Agencies	Specify.

Contractor:

Concept Plus, LLC.

DOEHRS-HC Tier III contractors are required to sign the DHA CONTRACTOR NON-DISCLOSURE AGREEMENT (NDA). As used in this Agreement, sensitive information is an overarching term that also includes, but is not limited to, sensitive but unclassified information/data, Protected Health Information, For Official Use Only information/data, and Privacy Information.

DOEHRS-HC contractors are also required to sign a Data User Agreement (DUA).

The DOEHRs-HC Tier III contract language includes DHA PGI 224.1-90, Attachment 2: Personally Identifiable Information, Protected Health Information, and Federal Information Requirements (Revised 10/27/2020):

☒ 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. "This Section addresses the Contractor's requirements under The Privacy Act of 1974 (Privacy Act), The Freedom of Information Act (FOIA), and The Health Insurance Portability and Accountability Act (HIPAA) as set forth in applicable statutes, implementing regulations and Department of Defense (DoD) issuances. In general, the Contractor shall comply with the specific requirements set forth in this Section and elsewhere in this Contract. The Contractor shall also comply with requirements relating to records management as described herein.

This Contract incorporates by reference the federal regulations and DoD issuances referred to in this Section. If any authority is amended or replaced, the changed requirement is effective when it is incorporated under contract change procedures. Where a federal regulation and any DoD issuance govern the same subject matter, the Contractor shall first follow the more specific DoD implementation unless the DoD issuance does not address or is unclear on that matter."

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 | |

Existing DoD Information System - Defense Enrollment Eligibility Reporting System (DEERS)

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) | |

Website - DOEHRs-HC is accessible by authorized, registered users from the Internet at https://doehrswww.apgea.army.mil/doehrsdr/pub/Confirm_input.action.

Information Sharing: System to System - DOEHS-HC interfaces with the Defense Enrollment Eligibility Reporting System (DEERS).

Official Forms - DOEHS-HC utilizes forms DD 2215 and DD 2216.

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 EDHA 07

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.

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-0330-2013-0004-0001

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

(3) Retention Instructions.

FILE NUMBER: 911-22

DISPOSITION: Temporary. Cut off annually. Destroy 30 years after the separation/retirement of the service member of termination/retirement civilian personnel.

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.

Public Law 104-191, Health Insurance Portability and Accountability Act of 1996; 10 U.S.C., Ch. 55, Medical and Dental Care; 10 U.S.C. 1097a, TRICARE Prime: Automatic Enrollments; Payment Options; 1097b, TRICARE Prime and TRICARE Program: Financial Management; 10 U.S.C. 1079, Contracts for Medical Care for Spouses and Children: Plans; 10 U.S.C. 1086, Contracts for Health Benefits for Certain Members, Former Members, and Their Dependents; 10 U.S.C. 1095, Health Care Services Incurred on behalf of Covered Beneficiaries: Collection From Third-party Payers; 42 U.S.C. 290dd, Substance Abuse Among Government and Other Employees; 42 U.S.C. 290dd-2, Confidentiality Of Records; 42 U.S.C. Ch. 117, Sections 11131-11152, Reporting of Information; 45 CFR 164, Security and Privacy; Department of Defense (DoD) Instruction 6015.23, Foreign Military Personnel Care and Uniform Business Offices in Military Treatment Facilities (MTFS); DoD Manual 6025.18, Implementation of the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule in DoD Health Care Programs; and E.O. 9397 (SSN), as amended.

Additional Authorities: 5 U.S.C. 301, Departmental Regulations; 10 U.S.C. 136, Under Secretary of Defense for Personnel and Readiness; 10 U.S.C. 1074f, Medical Tracking System for Members Deployed Overseas; DoD Directive 6490.02E, Comprehensive Health Surveillance; DoD Instruction 6490.03, Deployment Health; and DoD Instruction 6055.12, Hearing Conservation Program.

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.

DOEHRS-HC does not routinely collect PII information from members of the general public. DOEHRS-HC collects, maintains, compares, and reports deployment and hearing conservation program data. Public collection, such as from spouses and dependents of members of the Armed Forces and DoD-affiliated personnel, could be included if such spouse or dependent is in the area of a perceived or actual auditory event. These situations are rare and not subject to the Paperwork Reduction Act.