



PRIVACY IMPACT ASSESSMENT (PIA)

For the

Assistance Reporting Tool (ART)

Defense Health Agency (DHA)

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

Pending; 30-day comment period ended; waiting on OMB review and approval.

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.

10 U.S.C. Chapter 55, Medical and Dental Care; 38 U.S.C. Chapter 17, Hospital, Nursing Home, Domiciliary, and Medical Care; 32 CFR Part 199, Civilian Health and Medical Program of 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.

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.

ART is a secure web-based system that captures authorizations and feedback on TRICARE related benefits. Customer service personnel use ART to document beneficiary questions and concerns related to TRICARE and how those issues are resolved. The ART is also the primary means by which DHA-Great Lakes staff captures medical authorization determinations and claims assistance information for remotely located service members, line of duty care, and care under the Transitional Care for Service-related Conditions benefit. ART allows users to track workload and resolution of TRICARE-related issues. The data may also be used to create reports and statistical studies to determine historical and current trends and future needs. Users are comprised of customer service personnel, to include Beneficiary Counseling and Assistance Coordinators, Debt Collection Assistance Officers, personnel, family support, recruiting command, case managers, and others who serve in a customer service support role.

Information may be collected from active duty service members and retirees of the seven uniformed services, their family members, survivors, members of the National Guard and Reserves and their families, others who are registered in the Defense Enrollment Eligibility Reporting System (DEERS), and providers.

The types of personal information about individuals collected in the system may include personal descriptors, identification numbers, health, employment, and financial information. Data entry fields are not mandatory and are only collected if needed to assist the beneficiary in resolving his or her TRICARE issue.

DHA Communications Division is the owner of the application. The application is hosted on one site (DHA) but is web-based and can only be accessed by authorized users.

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

The privacy risks associated with the personally identifiable information (PII) and protected health information (PHI) collected are the unauthorized release of PII/PHI data to include identity theft, sharing of PII/PHI with those who have no need to know, unsolicited marketing, and compromise of sensitive information. These privacy risks have been mitigated through physical, technical, and administrative controls. Only individuals with a valid need-to-know demonstrated by assigned official Government duties are granted access to the ART. These individuals must satisfy all personnel security criteria with special protection measures or restricted distribution as established by the data owner. ART users are expected to adhere to the Privacy Act and HIPAA Privacy Rule when accessing and managing PII/PHI. Furthermore, the application is DoD Information Assurance Certification and Accreditation Process certified.

ART received an Authority to Operate in compliance with the Department of Defense Information Assurance Certification and Accreditation Process on July 10, 2013. The system undergoes an annual risk assessment to ensure protective controls are maintained during the lifecycle of the system. ART maintains a Privacy Impact Assessment on file with the DHA Privacy and Civil Liberties Office. (Full PIA previously submitted and approved in 2013).

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.

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.

Authorized users within the Managed Care Support Contractors, TRICARE Pharmacy Contractor, TRICARE Dental Program Contractor, TRICARE Retiree Dental Program Contractor, Active Duty Dental Program Contractor, Overseas Contractor, and TRICARE Dual Eligible Fiscal Intermediary Contractor

All contractors are expected to adhere to:
TRICARE Operations Manual Chapter 1 Section 5 Compliance with Federal Statutes
TRICARE Operations Manual Chapter 21 Section 3 Privacy of Individually Identifiable Health Information

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.

All PII/PHI collected is voluntarily given by the beneficiary. At any time during the case resolution process, individuals may object to the collection of PII/PHI via verbal or written notice. Individuals will be informed that, without PII/PHI, the authorized user may not be able to assist in case resolution, and that answers to questions/concerns would be generalities regarding the topic at hand.

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

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.

Individuals can verbally or in writing consent or authorize secondary uses of their PII/PHI in accordance with the Privacy Act and Health Insurance Portability and Accountability Act (HIPAA). In addition, a process is in place for individuals to access, question, and correct the PII/PHI in the application by means of the HIPAA Privacy Rule, Freedom of Information Act or a Privacy Act request.

PII/PHI are used and disclosed in accordance with the Privacy Act and HIPAA. These regulatory acts provide individuals with the avenue for obtaining and granting access to information.

(2) If "No," state the reason why individuals cannot give or withhold their consent.

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

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

Describe each applicable format.

AUTHORITY: 10 U.S.C. Chapter 55, Medical and Dental Care; 38 U.S.C. Chapter 17, Hospital, Nursing Home, Domiciliary, and Medical Care; 32 CFR Part 199, Civilian Health and Medical Program of 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.

PURPOSE: To collect information from individuals for the purposes of resolving and documenting questions and issues related to the Military Health System and making benefit and medical authorization determinations.

ROUTINE USES: Your records may be disclosed outside of DoD in accordance with the DoD Blanket Routine Uses published at <http://dpclo.defense.gov/Privacy/SORNSIndex/BlanketRoutineUses.aspx> and as permitted by the Privacy Act of 1974, as amended (5 U.S.C. 552a (b)).

Any protected health information (PHI) in your records may be used and disclosed generally as permitted by the HIPAA Privacy Rule (45 CFR Parts 160 and 164), as implemented within DoD. Permitted uses and disclosures of PHI include, but are not limited to, treatment, payment, and healthcare operations.

Your records may be disclosed to third parties, which may include private providers, other federal agencies, and collection agencies, in order to resolve any questions or issues you may have or to authorize care.

DISCLOSURE: Voluntary. There is no penalty if you choose not to share your information, but we may not be able to resolve your concerns, issue authorizations, or provide specific answers to your questions.

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.