

## 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:**

Electronic Surveillance System for the Early Notification of Community Based Epidemics (ESSENCE)

**2. DOD COMPONENT NAME:**

Defense Health Agency

**3. PIA APPROVAL DATE:**

Solution Delivery Division, Chief Information Officer (CIO)/Deputy Assistant Director, Information Operations (DAD IO/J-6)

### SECTION 1: PII DESCRIPTION SUMMARY (FOR PUBLIC RELEASE)

**a. The PII is:** (Check one. Note: foreign nationals are included in general public.)

- |  |  |
|--|--|
| <input type="checkbox"/> From members of the general public  | <input type="checkbox"/> From Federal employees and/or Federal contractors |
| <input checked="" type="checkbox"/> From both members of the general public and Federal employees and/or Federal contractors | <input type="checkbox"/> Not Collected (if checked proceed to Section 4)   |

**b. The PII is in a:** (Check one)

- |  |   |
|--|---|
| <input type="checkbox"/> New DoD Information System                    | <input type="checkbox"/> New Electronic Collection      |
| <input checked="" type="checkbox"/> Existing DoD Information System    | <input type="checkbox"/> Existing Electronic Collection |
| <input type="checkbox"/> 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.**

Electronic Surveillance System for the Early Notification of Community Based Epidemics (ESSENCE) is a web-based surveillance application that screens the Military Health System (MHS) enterprise for rapid or unusual increases in the occurrence of certain syndromes. ESSENCE provides timely accessible information for the detection and analysis of disease outbreak, chemical, biological, terrorist threats and/or emergencies.

Data is collected from and provided to authorized end users and DoD beneficiaries (e.g. dependents, retirees and/or their dependents, active duty, contractors, foreign nationals, former spouses, Reserve, and National Guard personnel) included in the following communities:

- the medical treatment facility (MTF) level,
- intermediate headquarters level Major Commands (MAJCOM),
- Major Army Commands (MACOM)s,
- Healthcare Support Office (HSO)s,
- Military Health Care System Regions, and corporate level Service Surgeons General (SG)s,
- DHA and Health Affairs (HA).

Central to this strategy is the emphasis on the consolidation of data and resources and the alignment of medical surveillance processes across the entire population at risk. In the event of a potential outbreak, military officials are alerted immediately via e-mail or text-enabled device.

ESSENCE uses the following types of personal information about individuals: personal descriptors, identification numbers, social security number, contact information, marital status, and health information.

System Contact information/Owner: The office that owns and manages the ESSENCE is DHA, DADIO (J6), SDD, 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/PHI is used by the system for verification, identification purposes, and correlation of data. The PII/PHI assist users in evaluating/verifying outpatient encounter data, which the usage of laboratory orders, radiology orders, pharmacy data, demographic data to detect the potential outbreak of disease, and monitor for potential biological, chemical, and terrorist attacks. The PII/PHI in the system identifies MHS beneficiaries who may require tests, medical treatment, quarantine, questioning, and related assistance in the event of an emergency.

**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.

ESSENCE is not the initial point of collection of PII from individuals; therefore, individuals do not have the opportunity to object to the collection of their PII.

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.

ESSENCE is not the initial point of collection of PII from individuals; therefore, individuals do not have the opportunity to consent to the use of their PII.

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

When PII is collected directly from individuals for a system of records, a Privacy Act Statement (PAS) is necessary. ESSENCE is not the initial point of PII capture from individuals. As a result, no PAS is required

h. With whom will the PII be shared through data exchange, both within your DoD Component and outside your Component? (Check all that apply)

Within the DoD Component

Specify. ESSENCE users are authorized epidemiologists and preventive medicine specialists. They are primarily located at the military treatment facility (MTF) level within DHA.

Other DoD Components

Specify. ESSENCE users are authorized epidemiologists and preventive medicine specialists. They are primarily located at the military treatment facility (MTF) level, but may also be located at the intermediate headquarters level Major Commands (MAJCOM), Major Army Commands (MACOM), Healthcare Support Office (HSO)s, Military Health System (MHS) Regions, corporate level Service Surgeon Generals (SG)s - Army, Air Force, and Navy, Defense Health Agency (DHA) and Health Affairs levels.

Other Federal Agencies

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. Johns Hopkins University Applied Physic Laboratory (APL) is a contractor supporting the development and implementation of ESSENCE. Their contract (# N00024-17-F-8086) contains the following Business Associate Agreement (BAA) language: "This document serves as a BAA between the signatory parties for purposes of the Health Insurance Portability and Accountability Act (HIPAA) and the 'Health Information Technology for Economic and Clinical Health Act.'" The contract language states that Johns Hopkins University APL may only use or disclose PHI as necessary to perform the services set forth in the Agreement or as required by law. The contract language is in accordance with the 45 CFR 164.502(e)(2) and 164.504(e) and paragraph C.3.4.1.3 of DoD 6025.18-R, "DoD Health Information Privacy Regulation."

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

- Composite Health Care System (CHCS)
- Defense Manpower Data Center (DMDC)
- Pharmacy records via Pharmacy Data Transaction Service (PDTs)

ESSENCE end users can not enter data into ESSENCE. ESSENCE is used to query data aggregated for analysis.

**j. How will the information be collected?** (Check all that apply and list all Official Form Numbers if applicable)

- |   |  |
|---|--|
| <input type="checkbox"/> E-mail   | <input type="checkbox"/> Official Form (Enter Form Number(s) in the box below) |
| <input type="checkbox"/> Face-to-Face Contact                                     | <input type="checkbox"/> Paper   |
| <input type="checkbox"/> Fax  | <input type="checkbox"/> Telephone Interview                                   |
| <input checked="" type="checkbox"/> Information Sharing - System to System        | <input type="checkbox"/> Website/E-Form  |
| <input type="checkbox"/> Other (If Other, enter the information in the box below) |  |

- Composite Health Care System (CHCS)
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**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.

**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.

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

(3) Retention Instructions.

Destroy when no longer required for reference. Office of Secretary of Defense (OSD), Records Disposition Schedule (RDS), File Code Number 910-04.2.b. ESSENCE only contains duplicative information received from the Military Health System Data Repository (MDR) from within the MHS.

**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; DoDD 6490.02E, Comprehensive Health Surveillance; DoDI 6055.05, Occupational and Environmental Health (OEH); DoDI 6200.03, Public Health Emergency Management within the Department of Defense; 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.

ESSENCE does not collect information directly from members of the public.