

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:

Assistance Reporting Tool (ART)

2. DOD COMPONENT NAME:

Defense Health Agency

3. PIA APPROVAL DATE:

9/22/20

SECTION 1: PII DESCRIPTION SUMMARY (FOR PUBLIC RELEASE)

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

From members of the general public

From Federal employees and/or Federal contractors

From both members of the general public and Federal employees and/or Federal contractors

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.

Assistance Reporting Tool (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. 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, 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 Solution Delivery Division, Information Operations (DAD IO/J-6) is the owner of the application. DHA Communications is the functional manager of the application. The application is hosted on one site (DHA) but is web-based and can only be accessed by authorized users.

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)

Personally identifiable information (PII) and protected health information (PHI) allows authorized users to accurately query other databases/systems and is used to assist staff and contractors with health care authorizations and beneficiaries with their concerns. Authorized users may use the PII/PHI to obtain and verify TRICARE eligibility, treatment, payment, and other healthcare operations information for a specific individual. The data may also be used to create reports and statistical studies to determine historical and current trends and future needs.

The PII/PHI is collected in order to facilitate beneficiary case resolution, and comply with recommendations of DoDI 6015.23, Foreign Military Personnel Care and Uniform Business Offices in Military Treatment Facilities (MTFs) and the U.S. Government Accountability Office (GAO) Health, Education, and Human Services (HEHS) Division study: GAO/HEHS-98-51 "Defense Health Care DoD Could Improve Its Beneficiary Feedback Approaches." PII/PHI is used to assist the individual with his/her concern so the Department of Defense may better track beneficiary feedback in the direct and purchase care system. Information is also collected to authorize care and address inquiries for remotely located service members.

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.

Individuals can verbally, provide written consent, or authorize secondary uses of their PII/PHI in accordance with the Privacy Act and Health Insurance Portability and Accountability Act (HIPAA). Individuals will be informed that, without PII/PHI, the authorized user may not be able to assist in case resolution.

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.

Individuals can verbally, provide written consent, or authorize secondary uses of their PII/PHI in accordance with the Privacy Act and 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.

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: 10 U.S.C 55 Medical and Dental Care; 38 U.S.C. 1781, Medical Care for Survivors and Dependents of Certain Veterans; 32 CFR Part 199, Civilian Health and Medical Program of the Uniformed Services (CHAMPUS); 45 CFR Parts 160 and 164, Health Insurance Portability and Accountability Act (HIPAA) Privacy and Security Rules; DoD 6025.18-R, Health Information Privacy Regulation; E.O. 9397 SSN as amended.

PURPOSE: To collect information from individuals to determine your eligibility for health care, as well as verify benefit, claims, and authorization determinations.

ROUTINE USES: Use and disclosure of your records outside of DoD may occur in accordance with the Privacy Act of 1974, as amended (5 U.S.C. 552a(b)). Collected information may also be shared with the Departments of Health and Human Services, Homeland Security, and Veterans Affairs, and other Federal, State, local, or foreign government agencies, authorized private business entities, including entities under contract with the Department of Defense and individual providers of care, on matters relating to eligibility, claims pricing and payment, fraud, program abuse, utilization review, quality assurance, peer review, program integrity, third-party liability, coordination of benefits, and civil or criminal litigation.

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, healthcare operations, and the containment of certain communicable diseases.

For a full listing of the applicable Routine Uses, refer to the applicable SORN.

APPLICABLE SORN: EDTMA 04 Medical/Dental Claim History Files (October 27, 2015, 80 FR 65720) is the system of records notice (SORN) applicable to the Assistance Reporting Tool. The SORN can be found at: <https://dpcl.d.defense.gov/Privacy/SORNsIndex/DOD-wide-SORN-Article-View/Article/570707/edtma-04/>

DISCLOSURE: Voluntary. If you choose not to provide your information, no penalty may be imposed, but absence of the requested information may result in the inability to assist with case resolution and answers to questions or concerns will be generalized regarding the topic at hand.

Note: DoD 6025.18-R has been cancelled and replaced by DoDM 6025.18, "Implementation of the HIPAA Privacy Rule in DoD Health Care Programs."

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. Internal DHA organizations, Health Affairs, Personnel & Readiness

Other DoD Components

Specify. Uniformed Services (Army, Air Force, Navy, Marines, NOAA, Coast Guard, and Public Health Services), military treatment facilities, Family Support Services, Data Manpower Defense Center

<p><input checked="" type="checkbox"/> Other Federal Agencies</p> <p>State and Local Agencies</p> <p><input checked="" type="checkbox"/> 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.)</p> <p>Other (e.g., commercial providers, colleges).</p>	<p>Specify. Departments of Health and Human Services, Homeland Security, and Veterans Affairs.</p> <p>Specify. Health Net Federal Services, Humana Military Express Scripts, Inc.; United Concordia; Delta Dental; Wisconsin Physicians Service; US Family Health Plan; International SOS Government Services, Inc.</p> <p>Specify. PII is shared with contractors in order to resolve the beneficiary's issue. For example, the contractor may need the patient's DoD Benefits Number (DBN), which is an 11-digit number found on the back of the ID card that can be used to verify eligibility and file claims, in order to look-up the status of a TRICARE claim.</p> <p>The contractors must follow the: TRICARE Operations Manual 6010.59-M, April 1, 2015 Chapter 19 Health Insurance Portability and Accountability Act (HIPAA) of 1996.</p> <p>TRICARE Operations Manual 6010.59-M, April 1, 2015 Chapter 1 Administration, Section 5 Compliance With Federal Statutes.</p> <p>Specify.</p>
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i. Source of the PII collected is: (Check all that apply and list all information systems if applicable)

<input checked="" type="checkbox"/> Individuals	<input checked="" type="checkbox"/> Databases
Existing DoD Information Systems	Commercial Systems
Other Federal Information Systems	

Primarily, information is received from the individual via a verbal or written exchange. PII can also be collected from GIQD/DEERS, PCOS(PEPR), and TRICARE contractors systems. The Database is "ART" within the 2012 SQL server.

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

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

Other sources for the PII/PHI collected include DoD Component systems external to DHA such as DEERS and other systems external to DoD such as contractor claims, referrals and authorization systems, and customer service records. The users also collect PII/PHI from conversations with other persons or organizations within the Military Health System that are directly involved in treatment, payment, and health plan operations (e.g., eligibility, enrollment, benefit, claims processing staff).

Beneficiaries on occasion may submit written correspondence. Information may also be collected from contractor files. DD Form 2642, DD Form 2527.

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 EDTMA 04

SORN Identifier, not the Federal Register (FR) Citation. Consult the DoD Component Privacy Office for additional information or <http://dpclid.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.

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. NC1-330-79-001, item 102-18a; DAA-0330-2014-0014-0001

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

(3) Retention Instructions.

Congressional Correspondence (NC1-330-79-001, item 102-18a): Temporary. Cut off every 6 months and destroy 7 years after cutoff. (Used as a bucket for all correspondence)

TRICARE Contractor Claims Records (Authorizations) (DAA-0330-2014-0014-0001): Temporary. Cut off at end of the calendar year in which received. Destroy 10 years after cutoff.

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 55 Medical and Dental Care; 38 U.S.C. 1781, Medical Care for Survivors and Dependents of Certain Veterans; 32 CFR Part 199, Civilian Health and Medical Program of the Uniformed Services (CHAMPUS); 45 CFR Parts 160 and 164, Health Insurance Portability and Accountability Act (HIPAA) Privacy and Security Rules; DoDM 6025.18, "Implementation of the HIPAA Privacy Rule in DoD Health Care Programs"; 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.

OMB Control Number:0720-0060