

## 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:

Submariner Epidemiology Research Program (SERP)/Undersea Health Epidemiology Research Program (UHERP)

### 2. DOD COMPONENT NAME:

Defense Health Agency

### 3. PIA APPROVAL DATE:

01/12/2026

sub-component - Bureau of Medicine and Surgery (BUMED)

### 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.**

The purpose of the Submariner Epidemiology Research Program (SERP)/Undersea Health Epidemiology Research Program (UHERP) (hereinafter SERP/UHERP) data collection is to perform submariner and diver epidemiology research to identify health outcomes and related risk factors associated with these occupations. The goal of the research is to improve operational readiness, health and quality of life. The data collection is supported by an approved Institutional Review Board (IRB) protocol (NSMRL.2011.0003).

The UHERP data repository contains multiple directories and a relational database management system (RDBMS) attached to the Defense Health System (DHA) network on the Naval Health Clinic New England\_MEDCOI system. The RDBMS resides within a local NSMRL server. This server is used to store only UHERP data in a SQL database and is only accessible by UHERP key personnel authorized users. UHERP's additional storage directories reside on the NSMRL network drive in the NSMRLUHERP directory. In total, the UHERP data repository contains four distinct components: (1) UHERP Database – a Microsoft SQL Server database that contains relational tables used for data analytics and storage. (2) Data Prep – a file directory containing encrypted files with raw data obtained from a data source organization or collected as outlined through the approved NSMRL IRB protocol. (3) P - Project – a file directory that contains analytical data sets and documents using the UHERP data. (4) Q - Documentation – a file directory that contains documentation for datasets present in the UHERP database, but does not contain any data.

Data are stored in a Microsoft SQL Server database, text files, MS Excel, SPSS, MS Access, SAS, and Statistica software files. There is no mobile application.

The types of PII collected include medical information, personnel files and military employment information and training records (i.e., citizenship, employment information, military records, place of birth, race/ethnicity, records, birth date, disability information, education information, financial information, marital status, position/title, rank/grade, DoD ID number, sex, medical information, names, other ID number [DEERS EDIPI, Dive Log ID], PHI, religious preference, SSN) that include personal identifiers and certain biographical data. No contact information (personal or work) is collected. PHI is also collected.

The U.S. Naval Submarine Medical Research Laboratory (NSMRL) owns and manages the data collection.

**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)

The PII is collected for identification, data matching, and for de-identified variable derivation.

The intended use of the PII is to identify submariners and divers, data match and create a record per individual; support de-identified variable derivation.

**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 do not have the opportunity to object to the collection of their PII because SERP/UHERP is not the initial point of collection; however, an opportunity to object may be applicable during original points of collection.

**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 do not have the opportunity to consent to the specific uses of their PII because SERP/UHERP is not the initial point of collection; however, an opportunity to consent may be applicable during the original point of collection.

**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

SERP/UHERP will not directly collect any personally identifiable information (PII) from individuals to be stored in a system of records and retrieved by a personal identifier; therefore, no Privacy Act Statement is required. Note: Privacy Act Statement is provided at the initial point of collection.

**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. Defense Health Agency

☐ Other DoD Components (i.e. Army, Navy, Air Force)

Specify. Department of Navy, Navy Bureau of Surgery and Medicine (BUMED) HQ, Navy Medical Research Center, Naval Submarine Medical Research Laboratory (NSMRL)

☐ Other Federal Agencies (i.e. Veteran's Affairs, Energy, State)

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.

☐ 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

**DoD Systems:**

Navy Enlisted System (NES)  
Officer Personnel Information System (OPINS)  
Physical Readiness Information Management System (PRIMS)  
Individual Personnel Tempo (ITEMPO)  
Navy Standard Integrated Personnel System (NSIPS)  
Military Health System Data Repository (MDR)  
Pharmacy Data Transaction Service (PDTS)  
Standard Inpatient Data Record (SIDR)  
Standard Ambulatory Data Record (SADR)  
TRICARE Encounter Data – Non-Institutional (TEDN)  
TRICARE Encounter Data—Institutional (TEDI)  
Theater Medical Information Program (T-MIP)  
Composite Health Care System (CHCS)  
Genesis

Comprehensive Ambulatory/Professional Encounter Record (CAPER)  
 Defense Eligibility and Enrollment Reporting System (DEERS) Point-in-time Extract  
 Casualty Death Records  
 Defense Manpower Data Center (DMDC) Contingency Tracking System deployment files  
 Payroll Data files  
 Shipboard Non-tactical ADP Program (SNAP) Automated Medical System (SAMS)  
 Sailing lists  
 Medical evacuation event reports  
 Submarine, diver duty and other disqualifications and waiver events  
 Medical evaluation Board (MEB) (Disability data)  
 Physical Evaluation Board (PEB) (Disability data)  
 Mortality file  
 Death Index Files  
 Pre- and Post-deployment Health Assessments  
 Navy Safety Center's Risk Management Information-Dive/Jump Reporting System, Accident, Injury, Mishap reports  
 SUBSCREEN, Psychological Readiness / Naval Psychological Readiness and Human Performance (NPRHP) (Psychological Screening Files)  
 Web Wave II

**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 type="checkbox"/> Official Form (Enter Form Number(s) in the box below) |
| <input type="checkbox"/> In-Person 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) |  |

**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.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.

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

(3) Retention Instructions.

Electronic records will be maintained no more than 7 years after the last time all electronic files associated with those records were "accessed". "Accessed" means that electronic or physical files associated with the data set (such as data documentation, manuscript drafts, and programming code) have been read.

**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.

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

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

DoDM 6025.18 Sec. 4.4i (13 Mar 2019) and allowed by the Federal Privacy Act (Public Law - 93-579, 5 U.S. Code 552a.), and the Privacy Rule of the Health Insurance Portability and Accountability Act (HIPAA) (Code of Federal Regulations (CFR) Sections 160,164).

**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.

The information collected within this system is for the diagnosis and treatment of medical disorders and does not collect PHI/PII directly from individuals of the general public; however, the system components, applications, or electronic collections within, in accordance with DoDM 8910.01, Volume 2, Enclosure 3, paragraph 8b(5).