

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:

3D Bio CAD 3 Shape TRIOS 3

2. DOD COMPONENT NAME:

Defense Health Agency

3. PIA APPROVAL DATE:

02/08/22

Defense Health Program Funded System

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.

3D Bio CAD 3 Shape TRIOS 3 ("TRIOS 3") Wireless Scanner captures digital images of the teeth used to design and fabricate dental appliances. Coupled with its software suite, the TRIOS 3 produces scans and expected treatment outcomes which provides up close viewing for the patients and the in-house production of appliances. The categories of individuals with Personal Identifiable Information (PII) in the scanner software are Department of Defense (DoD) Healthcare Beneficiaries includes: Military members of the Armed Forces, military retirees, and their family members, as well as other categories of individuals who receive care in DoD Dental Treatment Facilities/Activities.

The PII collected is demographic, contact, and medical information to include Protected Health Information (PHI). These are the following Existing DoD Information Systems in which PII is collected: Armed Forces Health Longitudinal Technology Application (AHLTA), Composite Health Care System (CHCS), Corporate Dental System (CDS), and Military Health System (MHS) Genesis/Dentrix. The PII/Protected Health Information (PHI) life cycle in the scanner software occurs when the PII/PHI is manually entered by a staff member at the Military Treatment Facilities, periodically updated, and deleted when the record is no longer required for producing the dental appliances. 3D Bio CAD (3 Shape TRIOS 3) is operated and owned by Defense Health Agency's (DHA's) Cyber Logistics.

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 to match an individual with his/her medical diagnostic reports and to ensure accuracy when these reports are integrated in the medical records for that individual. The intended use of the collected PII is for mission-related purposes to enhance the support of the delivery of Dental Care Services.

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.

TRIOS 3 receives PII from system-to-system interface; therefore, the opportunity to consent is only available at the source system.

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.

TRIOS 3 receives PII from system-to-system interface; therefore, the opportunity to consent is only available at the source system.

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

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. DHA's Military Treatment Facilities (MTFs)
- Other DoD Components (*i.e. Army, Navy, Air Force*) Specify.
- Other Federal Agencies (*i.e. Veteran's Affairs, Energy, State*) Specify. Department of Veterans Affairs, Health and Human Services, Homeland Security, and Private Physicians
- 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

Existing DoD Information Systems: Armed Forces Health Longitudinal Technology Application (AHLTA), Composite Health Care System (CHCS), Corporate Dental System (CDS), and Military Health System (MHS) Genesis/Dentrix.

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*)

Official Form: DD Form 2322, Dental Laboratory Work Authorization. Done by MTF Personnel with applicable systems noted on form.

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://dpcltd.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.

Applicable System of Records Notice (SORN): TRIOS 3 will not collect any personally identifiable information (PII) from individuals to be stored in a system of records and retrieved by a personal identifier. Therefore, no SORN is necessary. However, TRIOS 3 will collect PII directly from other DoD information systems, and the system owners should monitor the SORN compliance posture of those source

systems.

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. **Unscheduled**

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

(3) Retention Instructions.

Unscheduled - Permanent. Treat system and/or records maintained in the system as permanent until a NARA approved schedule and disposition authority has been applied.

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., Chapter Ch. 55, Medical and Dental Care; 10 U.S.C. 1097a, TRICARE Prime: Automatic Enrollments; Payment Options; 10 U.S.C. 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. 1079a, TRICARE Program: Treatment of Refunds and Other Amounts Collected Civilian Health and Medical Program of the Uniformed Services (CHAMPUS); 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 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); DoDM 6025.18, Implementation of the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule in DoD Health Care Programs.

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 in this system is for the diagnosis and treatment of medical disorders and is considered a public information collection in accordance with DoDM 8910.01, V2, Encl 3, paragraph 8b(5). 8b(5) states: Facts or opinions, obtained initially or in follow-up requests, from individuals (including individuals in control groups) under treatment or clinical examination in connection with research on, or prophylaxis to prevent, a clinical disorder; direct treatment of that disorder; or the interpretation of biological analyses of body fluids, tissues, or other specimens; or the identification or classification of such specimens. This includes medical records established as a result of this type of action.