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:

Surveillance Management and Reporting Tool (SMART Core)

2. DOD COMPONENT NAME:

Defense Health Agency

3. PIA APPROVAL DATE:

04/14/2026

PMO-EMS

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.

Surveillance Management and Reporting Tool (SMART Core) provides data reporting and metrics on medical treatment facility staffing. The system collects data from vendors to create metrics and reporting dashboards for visualizing and decision making by various contracting offices.

Personally Identifiable Information (PII) collected includes work-related personal information necessary to authenticate users and associate records to the appropriate organizational context, including user and workforce names, business email addresses, phone numbers, employer/contractor affiliation, role/permission assignments, work identifiers (e.g., worker ID/badge number), assignment dates/location and FTE-related staffing data, and standard audit/security logs (user ID, timestamps, and related access events). In particular, a combination of this data can provide intel to where somebody works and how much they work.

The categories of individuals about whom PII are collected include employees of medical treatment facilities and users of the application.

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 in SMART Core is collected and used strictly for mission and administrative purposes: to identify and authenticate Government and contractor users (including enforcing role-based access control), to associate workforce/assignment records to the correct employer, contract/task order, location, and period of performance for staffing oversight, vacancy tracking, and metrics/reporting.

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 because the limited PII collected in SMART Core is required to authenticate users and support the mission of providing insight to medical treatment facility staffing.

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 because the limited PII collected in SMART Core is required to authenticate users and support the mission of providing insight to medical treatment facility staffing (implied consent based on the fact the vendor was awarded the contract and are required to report in SMART Core).

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

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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 PMO-EMS and Contracting Offices
☒ Other DoD Components *(i.e. Army, Navy, Air Force)*	Specify.	CORs and TOKOs in the government networks (as needed only)
☒ Other Federal Agencies *(i.e. Veteran's Affairs, Energy, State)*	Specify.	CORs and TOKOs in the government networks (as needed only)
☐ 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.	A variety of vendors who are awarded one or more contracts to provide staffing support to medical treatment facilities.
☒ Other *(e.g., commercial providers, colleges)*.	Specify.	DHA PMO-EMS SMART Core software development team

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

DHA-AZURE system hosting SMNART Core application service

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)*

Vendor awarded contracts, data entered by vendors

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://dpcld.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.

Mission Schedules:
- NC1-330-77-004, item 201-15

Other Schedules:
- System Access Records: GRS 3.2, item 030 (DAA-GRS-2013-0006-0003),
- Data Administration and Documentation: GRS 3.1, item 051 (DAA-GRS-2013-0005-0003)

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

(3) Retention Instructions.

Mission Schedules:
FILE NUMBER: 201-14
FILE TITLE: Staffing Surveys and Studies Files
DISPOSITION: Temporary. Cut off annually. Destroy 5 years after cutoff.

Other Schedules:
FILE NUMBER: 1601-02
FILE TITLE: System Access Records - Systems not requiring Special Accountability for Access
DISPOSITION: Temporary. Cut off and destroy when business use ceases.

FILE NUMBER: 1601-12
FILE TITLE: Data Administration and Documentation - Temporary Systems
DISPOSITION: Temporary. Cut off after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. Destroy 5 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 statue 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.

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 and is not considered a public information collection in accordance with DoDM 8910.01, V2, Encl 3, paragraph 8b(5).