The completion of Veterans Affairs Privacy Impact Assessments (PIAs) is mandated for any rulemaking, program, system, or practice that collects or uses PII under the authority of the E-government Act of 2002 (44 U.S.C. § 208(b)) and VA Directive 6508, Implementation of Privacy Threshold Analysis and Privacy Impact Assessment.

The PIA is designed to identify risk associated with the use of PII by a system, program, project or practice, and to ensure that vital data stewardship issues are addressed for all phases of the System Development Life Cycle (SDLC) of IT systems. It also ensures that privacy protections are built into an IT system during its development cycle. By regularly assessing privacy concerns during the development process, VA ensures that proponents of a program or technology have taken its potential privacy impact into account from the beginning. The PIA also serves to help identify what level of security risk is associated with a program or technology. In turn, this allows the Department to properly manage the security requirements under the Federal Information Security Management Act (FISMA).


Please note that the E-government Act of 2002 requires that a PIA be made available to the public. In order to comply with this requirement PIA will be published online for the general public to view. When completing this document please use simple, straight-forward language, avoid overly technical terminology, and write out acronyms the first time you use them to ensure that the document can be read and understood by the general public.
Privacy Impact Assessment for the VA IT System called:

Consolidated Mail Outpatient Pharmacy (CMOP) Pharmaceutical System (major application); Leavenworth Consolidated Mail Outpatient Pharmacy (CMOP) (minor application); Chelmsford Consolidated Mail Outpatient Pharmacy (CMOP) (minor application); Tucson Consolidated Mail Outpatient Pharmacy (CMOP) (minor application); Dallas Consolidated Mail Outpatient Pharmacy (CMOP) (minor application); Murfreesboro Consolidated Mail Outpatient Pharmacy (CMOP) (minor application); Hines Consolidated Mail Outpatient Pharmacy (CMOP) (minor application); Charleston Consolidated Mail Outpatient Pharmacy (CMOP) (minor application)

Veterans Health Administration
Consolidated Mail Outpatient Pharmacy

Date PIA submitted for review:
8/9/2022

System Contacts:

<table>
<thead>
<tr>
<th>Name</th>
<th>E-mail</th>
<th>Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Privacy Officer</td>
<td>Courtney Albritton</td>
<td><a href="mailto:Courtney.Albritton@va.gov">Courtney.Albritton@va.gov</a></td>
</tr>
<tr>
<td>Information System Security Officer (ISSO)</td>
<td>Anna J. Johnson/Julie A. Hawkins</td>
<td><a href="mailto:Anna.johnson3@va.gov">Anna.johnson3@va.gov</a>, <a href="mailto:Julie.hawkins5@va.gov">Julie.hawkins5@va.gov</a></td>
</tr>
<tr>
<td>Information System Owner</td>
<td>John Koveos</td>
<td><a href="mailto:John.Koveos@va.gov">John.Koveos@va.gov</a></td>
</tr>
</tbody>
</table>
Abstract

The abstract provides the simplest explanation for “what does the system do?” and will be published online to accompany the PIA link.

The Consolidated Mail Outpatient Pharmacy (CMOP) Local Area Network (LAN), Veterans Health Information System Technology Architecture (VistA) and Cerner are used to transfer, process, manage, and update the prescription data received from all of the VA Medical Centers (VAMCs) throughout the automated prescription fulfillment distribution workflow.

Overview

The overview is the most important section of the PIA. A thorough and clear overview gives the reader the appropriate context to understand the responses in the PIA. The overview should contain the following elements:

- The IT system name and the name of the program office that owns the IT system.
- The business purpose of the program, IT system, or technology and how it relates to the program office and agency mission.
- Indicate the ownership or control of the IT system or project.
- The expected number of individuals whose information is stored in the system and a brief description of the typical client or affected individual.
- A general description of the information in the IT system and the purpose for collecting this information.
- Any information sharing conducted by the IT system. A general description of the modules and subsystems, where relevant, and their functions.
- Whether the system is operated in more than one site, and if so, a description of how use of the system and PII is maintained consistently in all sites and if the same controls are used across sites.
- A citation of the legal authority to operate the IT system.
- Whether the completion of this PIA will result in circumstances that require changes to business processes.
- Whether the completion of this PIA could potentially result in technology changes.
- If the system is in the process of being modified and a SORN exists, will the SORN require amendment or revision and approval? If the system is using cloud technology, does the SORN for the system cover cloud usage or storage?

The CMOP Pharmaceutical System (CPS) receives prescription batch transmissions from all VAMC VistA servers through the CMOP VistA and Cerner Servers. The prescription batch transmissions are then downloaded from the VA VistA System and Cerner System to the CPS via flat file transfer using Health Level 7 (HL7) protocol and SQL databases respectively. The CPS interacts with the VAMCs and CMOP production systems to provide functionality by balancing the workloads to ensure timely prescription processing. CPS receives and processes data from all VAMCs and Indian Health Services (IHS).

CPS is a system that was originally called the Central Database (CDB). The CDB system had an Authority to Operate (ATO). When CDB was moved to virtual servers, the old servers that housed
the CDB were decommissioned along with the introduction of Database-to-Database transmissions from Cerner termed Cerner Central Database (CCDB). An ATO was then obtained for each CMOP Regional facility, and the new national database name was changed to CPS and aligned under the Information Technology Operations and Services (ITOPS) Enterprise.

One of the CMOP’s missions in the Department of Veterans Affairs (VA) is to maintain and manage its automated pharmaceutical prescription filling systems per The Joint Commission Comprehensive Accreditation Manual for Home Care. The CMOP uses multiple complex automated pharmaceutical prescription filling systems which employ a mixture of highly automated robotic devices, conveyor systems, and human factors to accurately fill and ship over 117,000,000 prescriptions per year for healthcare beneficiaries including our nation’s Veterans, active-duty service members, and patients eligible for care through IHS. The CMOP has agreements with the Department of Defense (DoD) and the Direct to Patient (DTP) partners Medline and McKesson to provide prescription and pre-packaged medical supply fulfillment. Cerner provides the CMOP services for management of prescriptions throughout the lifecycle of the prescription that allow a single prescription to be filled locally or by the CMOP, and allows Veterans, providers, and the local VA pharmacies to change, track, and monitor CMOP prescriptions. This includes bi-directional communications between the Electronic Health Record (EHR) and the designated Regional CMOP, accounting for sending and receiving patient and prescription data. After Regional CMOPS and DTP vendors send packages, CMOP National consolidates tracking information and provides that to My Healthy Vet (MHV) so patients can track prescription status.

Veteran’s pharmaceutical prescription information is retained: Patient’s name, address, SSN, RX number, type of medication, quantity ordered, instructions for use, physician’s name, prescribing VAMC name, address, and telephone number. Magnitude of harm would be high if privacy related data is disclosed. Cloud computing is not currently used.


Legal Authority—Title 38, United States Code, Sections 501(b) and 304. Legal authority can be found in the following US Code: Title 5, United States Code, section 301 and Title 38, United States Code, Sections 109, 111, 501, 1703, 1710, 1717, 1720, 1721, 1724, 1725, 1727, 1728, and 7105 and Title 38, United States Code, Section 7301; Executive Order 9397.>>

**Section 1. Characterization of the Information**

The following questions are intended to define the scope of the information requested and collected as well as the reasons for its collection as part of the program, IT system, or technology being developed.

**1.1 What information is collected, used, disseminated, created, or maintained in the system?**

*Identify and list all Sensitive Personal Information (SPI) that is collected and stored in the system, including Individually Identifiable Information (III), Individually Identifiable Health Information (IIHI), Protected Health Information (PHI), and Privacy-Protected Information. For additional information on these information types and definitions, please see VA Directives and Handbooks in the 6500 series ([https://vaww.va.gov/vapubs/](https://vaww.va.gov/vapubs/)). If the system creates information (for example, a score, analysis, or report), list the information the system is responsible for creating.*
If a requesting system receives information from another system, such as a response to a background check, describe what information is returned to the requesting system. This question is related to privacy control AP-1, Authority to Collect, and AP-2, Purpose Specification.

The information selected below must match the information provided in question 2.1 as well as the data elements columns in 4.1 and 5.1.

Please check any information listed below that your system collects, uses, disseminates, creates, or maintains. If additional SPI is collected, used, disseminated, created, or maintained, please list those in the text box below:

<table>
<thead>
<tr>
<th>☒ Name</th>
<th>☐ Health Insurance Beneficiary Numbers Account numbers</th>
<th>☐ Integration Control Number (ICN)</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ Social Security Number</td>
<td>☐ Certificate/License numbers</td>
<td>☐ Military History/Service Connection</td>
</tr>
<tr>
<td>☐ Date of Birth</td>
<td>☐ Vehicle License Plate Number</td>
<td>☐ Next of Kin</td>
</tr>
<tr>
<td>☐ Mother’s Maiden Name</td>
<td>☐ Internet Protocol (IP) Address Numbers</td>
<td>☐ Other Unique Identifying Information (list below)</td>
</tr>
<tr>
<td>☒ Personal Mailing Address</td>
<td>☒ Current Medications</td>
<td></td>
</tr>
<tr>
<td>☒ Personal Phone Number(s)</td>
<td>☐ Previous Medical Records</td>
<td></td>
</tr>
<tr>
<td>☐ Personal Fax Number</td>
<td>☐ Race/Ethnicity</td>
<td></td>
</tr>
<tr>
<td>☐ Personal Email Address</td>
<td>☐ Tax Identification Number</td>
<td></td>
</tr>
<tr>
<td>☐ Emergency Contact</td>
<td>☐ Medical Record Number</td>
<td></td>
</tr>
<tr>
<td>Information (Name, Phone Number, etc. of a different individual)</td>
<td>☐ Gender</td>
<td></td>
</tr>
<tr>
<td>☒ Financial Account Information</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Add Additional Information Collected But Not Listed Above Here: RX Number, quantity ordered, instructions for use, physician’s name, prescribing VAMC name, VAMC address and VAMC telephone number. (For Example, A Personal Phone Number That Is Used As A Business Number).

**PII Mapping of Components**

The CMOP systems consist of one major application (CPS) and seven minor applications which are housed at the individual CMOP Regional facilities. All CMOP systems have been analyzed to determine if Personally Identifiable Information (PII) is collected. The type of PII collected and the reasons for the collection of the PII are in the table below. The prescription data is entered into the patient’s pharmacy records at the VAMC of care. It is then transmitted to the CMOP via Health level 7 (HL7) protocol through Mailman, a VistA data transfer feature. CMOP fulfills the prescription order using our automated pharmaceutical dispensing systems. CMOP then transmits back to the VAMC of care information concerning the medication dispensed (Date Dispensed, National Drug Code (NDC), Lot Number, Expiration Date). The reasons for the collection of the PII are in the table below.
**PII Mapped to Components**

**Note:** Due to the PIA being a public facing document, please do not include the server names in the table. The first table of 3.9 in the PTA should be used to answer this question.

### PII Mapped to Components

<table>
<thead>
<tr>
<th>Database Name of the information system collecting/storing PII</th>
<th>Does this system collect PII? (Yes/No)</th>
<th>Does this system store PII? (Yes/No)</th>
<th>Type of PII (SSN, DOB, etc.)</th>
<th>Reason for Collection/Storage of PII</th>
<th>Safeguards</th>
</tr>
</thead>
<tbody>
<tr>
<td>Web Application Server</td>
<td>Yes</td>
<td>Yes</td>
<td>Patient SSN, Patient Name, Patient Address (mailing and home address), Patient Phone Number, Patient Account Number, Prescribing Doctor, Medication Prescribed, Prescription Directions, Last time Medication was refilled, When the Prescription Expires.</td>
<td>Web order Lookup, Cancel, Package Tracking, QA Reporting</td>
<td>VA Gold Image, Patched, with all VA required security controls in place</td>
</tr>
<tr>
<td>VHA VISTA</td>
<td>Yes</td>
<td>Yes</td>
<td>Patient’s name, address, SSN, RX Number, type of medication, quantity ordered, instructions for use, physician’s name, prescribing VAMC name, address and telephone number</td>
<td>Prescription Fulfillment</td>
<td>VA Gold Image, Patched, with all VA required security controls in place</td>
</tr>
</tbody>
</table>
1.2 What are the sources of the information in the system?

List the individual, entity, or entities providing the specific information identified above. For example, is the information collected directly from the individual as part of an application for a benefit, or is it collected from other sources such as commercial data aggregators?

Describe why information from sources other than the individual is required. For example, if a program’s system is using data from a commercial aggregator of information or data taken from public Web sites, state the fact that this is where the information is coming from and then in question 1.3 indicate why the system is using this source of data.

If the system creates information (for example, a score, analysis, or report), list the system as a source of information.

This question is related to privacy controls DI-1, Data Quality, and IP-1, Consent.

The prescription data is entered into the patient’s pharmacy records at the VAMC of care. It is then transmitted to the CMOP via HL7 protocol through Mailman, a VistA data transfer feature. CMOP will fulfill the prescription order using our automated pharmaceutical dispensing systems. CMOP then transmits back to the VAMC of care information concerning the medication dispensed (Date Dispensed, NDC, Lot Number, Expiration Date).

1.3 How is the information collected?

This question is directed at the means of collection from the sources listed in question 1.2. Information may be collected directly from an individual, received via electronic transmission from another system, or created by the system itself. Specifically, is information collected through technologies or other technology used in the storage or transmission of information in identifiable form?

If the information is collected on a form and is subject to the Paperwork Reduction Act, give the form’s OMB control number and the agency form number.

This question is related to privacy controls DI-1, Data Quality, and IP-1, Consent.

The prescription information is collected directly from the attending physician or medical staff at the VAMC of care or IHS. It is then electronically transmitted to the CMOP via HL7 protocol through VistTA messaging. VistA software has been developed by VA and is used to support clinical and administrative functions at VAMC’s nationwide.

1.4 How will the information be checked for accuracy? How often will it be checked?

Discuss whether and how often information stored in the system is checked for accuracy. Is information in the system checked against any other source of information (within or outside your organization) before the information is used to make decisions about an individual? For example, is
there a computer matching agreement in place with another government agency? For systems that receive data from internal data sources or VA IT systems, describe the system checks to ensure that data corruption has not occurred during transmission.

If the system checks for accuracy by accessing a commercial aggregator of information, describe this process and the levels of accuracy required by the contract. This question is related to privacy controls DI-1, Data Quality, and DI-2, Data Integrity and Integrity Board.

The VAMC is responsible for the accuracy of the data transmitted to CMOP. Accuracy is verified by the original source. HL7 protocol is used for the transmission to CMOP ensuring that the data sent is the data received. Data is not manipulated at the CMOP and is processed as it is received. CMOP further verifies the physical contents of the packages we send out to ensure that all data elements including the prescription label and the medication dispensed are consistent.

1.5 What specific legal authorities, arrangements, and agreements defined the collection of information?

List the full legal authority for operating the system, specifically the authority to collect the information listed in question 1.1. Provide the authorities in a manner understandable to any potential reader, i.e., do not simply provide a legal citation; use statute names or regulations in addition to citations. Legal authorities include Federal laws, regulations, statutes, and Executive Orders.

This question is related to privacy control AP-1, Authority to Collect

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Legal authority can be found in the following US Code: Title 5 United States Code, section 301 and Title 38, United States Code, Sections 109, 111, 501, 1703, 1705, 1710, 1712, 1717, 1720, 1721, 1724, 1725, 1727, 1728 and 7105 and Title 38, United States Code, Section 7301; Executive Order 9397. Title 38, United States Code, Sections 501(b) and 304. Records maintained at the VA Health Care Facility to include pharmaceutical subsidiary record information which the CMOP provides back to the VAMC as part of the patient’s records. Additional information about state laws, and local policies.

1.6 PRIVACY IMPACT ASSESSMENT: Characterization of the information

Consider the specific data elements collected and discuss the potential privacy risks and what steps, if any are currently being taken to mitigate those identified risks.

Consider the following Fair Information Practice Principles (FIPPs) when assessing the risk to individual privacy:
**Principle of Purpose Specification:** Explain how the collection ties with the purpose of the underlying mission of the organization and its enabling authority.

**Principle of Minimization:** Is the information directly relevant and necessary to accomplish the specific purposes of the program?

**Principle of Individual Participation:** Does the program, to the extent possible and practical, collect information directly from the individual?

**Principle of Data Quality and Integrity:** Are there policies and procedures for VA to ensure that personally identifiable information is accurate, complete, and current?

*This question is related to privacy control AR-1, Governance and Privacy Program, and AR-2, Privacy Impact and Risk Assessment.*

Follow the format below when entering your risk assessment:

**Privacy Risk:** There is a privacy risk that data within the patient record may be inaccurate due to its reliance on manual input by Medical Center staff.

**Mitigation:** The VAMC is responsible for the accuracy of the data transmitted to CMOP. Accuracy is verified by the original source. HL7 protocol is used for the transmission to CMOP ensuring that the data sent is the data received. Data is not manipulated at the CMOP and is processed as it is received. We are responsible for ensuring the prescriptions are filled correctly based on the data sent and reviewed for accuracy by a pharmacist.

### Section 2. Uses of the Information

The following questions are intended to clearly delineate the use of information and the accuracy of the data being used.

2.1 Describe how the information in the system will be used in support of the program’s business purpose.

*Identify and list each use (both internal and external to VA) of the information collected or maintained.*

*This question is related to privacy control AP-2, Purpose Specification.*

Name: to identify Veteran
Social Security Number: Identifier at the VAMC of care (not used at the CMOP)
Mailing Address: to identify where to mail the prescription
Zip Code: to identify where to mail the prescription
Phone Number: received as part of the transmission from the Medical Center (not used at the CMOP)
Current Medications: Identifies medications to be filled and processed by CMOP
RX Number: to identify the RX
Quantity ordered: quantity of medication to dispense per RX
Instructions for use: instructions from the physician on use of RX
Physician’s name: prescribing physician
Prescribing VAMC name, VAMC Address and VAMC telephone number: prescribing VAMC information.

2.2 What types of tools are used to analyze data and what type of data may be produced?

Many systems sift through large amounts of information in response to a user inquiry or programmed functions. Systems may help identify areas that were previously not obvious and need additional research by agents, analysts, or other employees. Some systems perform complex analytical tasks resulting in, among other types of data, matching, relational analysis, scoring, reporting, or pattern analysis. Describe any type of analysis the system conducts and the data that is created from the analysis.

If the system creates or makes available new or previously unutilized information about an individual, explain what will be done with the newly derived information. Will it be placed in the individual’s existing record? Will a new record be created? Will any action be taken against or for the individual identified because of the newly derived data? If a new record is created, will the newly created information be accessible to Government employees who make determinations about the individual? If so, explain fully under which circumstances and by whom that information will be used.

This question is related to privacy controls DI-1, Data Quality, DI-2, Data Integrity and Integrity Board, and SE-1, Inventory of Personally Identifiable Information

The CPS and CMOP LANs are used to manage the prescription data received from the VAMC of care to fulfill the order and mail it to the patient. Filling information is added to the existing record and exported back to the Medical Center to show date/time prescription is filled, NDC, lot number and expiration date. Quality Assurance reviews are conducted on the data and performance measures are calculated monthly.

2.3 How is the information in the system secured?

2.3a What measures are in place to protect data in transit and at rest?
The entire database containing the patient information is encrypted.

2.3b If the system is collecting, processing, or retaining Social Security Numbers (SSNs), are there additional protections in place to protect SSNs?
The entire database containing the patient information is encrypted.

2.3c How is PII/PHI safeguarded in accordance with OMB Memorandum M-06-15?

This question is related to security and privacy controls SC-9, Transmission Confidentiality, and SC-28, Protection of Information at Rest
The prescription data is entered into the patient’s pharmacy records at the VAMC of care. It is then transmitted to the CMOP via HL7 protocol through Mailman, a VistA data transfer feature. CMOP
will fulfill the prescription order using our automated pharmaceutical dispensing systems. CMOP then transmits back to the VAMC of care information concerning the medication dispensed (Date Dispensed, NDC, Lot Number, Expiration Date).
The entire database containing the patient information and the connections to and from the database are encrypted.

2.4 PRIVACY IMPACT ASSESSMENT: Use of the information. How is access to the PII determined? Are criteria, procedures, controls, and responsibilities regarding access documented? Does access require manager approval? Is access to the PII being monitored, tracked, or recorded? Who is responsible for assuring safeguards for the PII?

Describe any types of controls that may be in place to ensure that information is handled in accordance with the uses described above. Example: Describe if training for users of the project covers how to appropriately use information. Describe the disciplinary programs or system controls (i.e. denial of access) that are in place if an individual is inappropriately using the information.

Consider the following FIPPs below to assist in providing a response:

Principle of Transparency: Is the PIA and SORN, if applicable, clear about the uses of the information?

Principle of Use Limitation: Is the use of information contained in the system relevant to the mission of the project?
This question is related to privacy control AR-4, Privacy Monitoring and Auditing, AR-5, Privacy Awareness and Training, and SE-2, Privacy Incident response.

All CMOP employees must take VA Privacy and Information Security Awareness Training and read and acknowledge the Rules of Behavior annually, as well as taking Privacy and HIPAA focused training. Access to the systems are based on the requirements of the position (pharmacists, pharmacy technicians, packers, etc.). Functional categories are assigned and reviewed annually. Auditing and accountability are performed through Windows authentication.

Section 3. Retention of Information

The following questions are intended to outline how long information will be retained after the initial collection.

3.1 What information is retained?

Identify and list all information collected from question 1.1 that is retained by the system. This question is related to privacy controls DM-1, Minimization of Personally Identifiable Information, and DM-2, Data Retention and Disposal.
Pharmaceutical records to include name, social security number, mailing address, zip code, medication type, medication quantity, instructions for use, instructions from the physician on use of RX, prescribing physician, prescribing VAMC name, VAMC Address and VAMC telephone number, prescribing VAMC information.

3.2 How long is information retained?

In some cases, VA may choose to retain files in active status, and archive them after a certain period of time. State active file retention periods, as well as archived records, in number of years, for the information and record types. For example, financial data held within your system may have a different retention period than medical records or education records held within your system, please be sure to list each of these retention periods. If the system is using cloud technology, will it be following the NARA approved retention length and schedule?

The VA records officer should be consulted early in the development process to ensure that appropriate retention and destruction schedules are implemented.

This question is related to privacy control DM-2, Data Retention and Disposal.

CMOP records are purged from the LAN Production Systems every 45 days. The data is maintained in the CPS server for 6 months then transferred to the Archive Server where records are purged in accordance with the Record Control Schedule (RCS) 10-1 for Pharmacy records. Data is then purged from the CPS server.

3.3 Has the retention schedule been approved by the VA records office and the National Archives and Records Administration (NARA)? If so please indicate the name of the records retention schedule.

An approved records schedule must be obtained for any IT system that allows the retrieval of a record via a personal identifier. The VA records officer will assist in providing a proposed schedule. The schedule must be formally offered to NARA for official approval. Once NARA approves the proposed schedule, the VA records officer will notify the system owner.

This question is related to privacy control DM-2, Data Retention and Disposal.


Records Control Schedule 10-1 (va.gov)

3.4 What are the procedures for the elimination of SPI?

Explain how records are destroyed or eliminated at the end of the retention period. Please give the details of the process. For example, are paper records shredded on site, or by a shredding company and accompanied by a certificate of destruction, etc?
This question is related to privacy control DM-2, Data Retention and Disposal

Paper records are shredded by a shredding company. CMOP has Business Associate Agreements (BAAs) with National Association Information Destruction (NAID) eligible data destruction vendors who supply on-or off-site destruction per the contract. Certificates of destruction are required that state date and number of materials destroyed. System data is purged through an automated purge set by the RCS 10-1 for pharmacy records.

Records Control Schedule 10-1 (va.gov)

3.5 Does the system, where feasible, use techniques to minimize the risk to privacy by using PII for research, testing, or training?

Organizations often use PII for testing new applications or information systems prior to deployment. Organizations also use PII for research purposes and for training. These uses of PII increase the risks associated with the unauthorized disclosure or misuse of the information. Please explain what controls have been implemented to protect PII used for testing, training, and research. Have policies and procedures been developed to minimize the use of PII for testing, training, and research? This question is related to privacy control DM-3, Minimization of PII Used in Testing, Training and Research

No research is done at CMOP. All testing data meets the VA Displaying Sensitive Data Guidelines to remove referencing SSNs in any written material or test databases containing patient data. The Social Security Administration (SSA) has indicated that SSNs beginning with the series 000 or 666 should be used as display numbers. These series have not and likely never will be issued as valid SSNs. We use the following format for referencing patient names anywhere sensitive patient/staff data may be displayed. The patient’s name shall be constructed from the abbreviated application name concatenated with “patient” for the last name and the use of textual numbers or a numeric for the first name. An alpha character or numeric can be added to the last name to make it more distinctive in recognizing specific test entities (e.g., CMOPpatient, One; CMOP patient2, One; CMOPpatientA, One; CMOP patient, 12). Addresses and phone numbers are scrambled. The provider’s name is constructed from the abbreviated application name concatenated with “provider” for the last name, and the use of textual numbers or a numeric for the first name. An alpha character or number can be added to the last name to make it more distinctive in recognizing specific test entities. (e.g., CMOPprovider, One; CMOPprovider1, One; CMOPproviderB, One; CMOPprovider, 12). Training material is reviewed by the Privacy Officer (PO) to ensure no PII is in the material. The presenter must obtain a signed VA0897 from the PO prior to providing training to staff without the need to know. The signer certifies that all materials used in the presentation, including PowerPoint files, handouts, or other presentation documentation complies with privacy guidelines regarding protection of PII.
3.6 PRIVACY IMPACT ASSESSMENT: Retention of Information

Discuss the risks associated with the length of time data is retained and what steps, if any, are currently being taken to mitigate those identified risks.

While we understand that establishing retention periods for records is a formal process, there are policy considerations behind how long a project keeps information. The longer a project retains information, the longer it needs to secure the information and assure its accuracy and integrity. The proposed schedule should match the requirements of the Privacy Act to keep the minimum amount of PII for the minimum amount of time, while meeting the Federal Records Act. The schedule should align with the stated purpose and mission of the system.

Consider the following FIPPs below to assist in providing a response:

**Principle of Minimization:** Does the project retain only the information necessary for its purpose? Is the PII retained only for as long as necessary and relevant to fulfill the specified purposes?

**Principle of Data Quality and Integrity:** Has the PIA described policies and procedures for how PII that is no longer relevant and necessary is purged? This question is related to privacy controls DM-1, Minimization of Personally Identifiable Information, and DM-2, Data Retention and Disposal.

Follow the format below:

**Privacy Risk:** The privacy risk associated with this system is that CMOP may retain the information for longer than necessary to fulfill CMOP’s mission.

**Mitigation:** Pharmacy data is purged from the LAN Production Systems every 45 days. The data is maintained in the CPS where records are purged in accordance with the RCS 10-1 disposition for pharmacy records. All pharmacy data is maintained in the patient’s records at the VAMC of record.

**Section 4. Internal Sharing/Receiving/Transmitting and Disclosure**

The following questions are intended to define the scope of information sharing/receiving/transmitting within VA.

**4.1 With which internal organizations is information shared/received/transmitted? What information is shared/received/transmitted, and for what purpose? How is the information transmitted?**

**NOTE:** Question 3.9 (second table) on Privacy Threshold Analysis should be used to answer this question.

Identify and list the names of any program offices, contractor-supported IT systems, and any other organization or IT system within VA with which information is shared.

State the purpose for the internal sharing. If you have specific authority to share the information, provide a citation to the authority.
For each interface with a system outside your program office, state what specific data elements (PII/PHI) are shared with the specific program office, contractor-supported IT system, and any other organization or IT system within VA.

Describe how the information is transmitted. For example, is the information transmitted electronically, by paper, or by some other means? Is the information shared in bulk, on a case-by-case basis, or does the sharing partner have direct access to the information?

This question is related to privacy controls AP-2, Purpose Specification, AR-3, Privacy Requirements for Contractors and Service Providers, AR-8, Accounting of Disclosures, TR-1, Privacy Notice, and UL-1, Internal Use.

**Data Shared with Internal Organizations**

<table>
<thead>
<tr>
<th>List the Program Office or IT System information is shared/received with</th>
<th>List the purpose of the information being shared/received with the specified program office or IT system</th>
<th>List the specific PII/PHI data elements that are processed (shared/received/transmitted) with the Program Office or IT system</th>
<th>Describe the method of transmittal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Veterans Health Administration/VistA</td>
<td>Health Care</td>
<td>Veteran’s pharmaceutical prescription information is temporarily retained. Information includes Patient’s name, address, SSN, RX number, type of medication, quantity ordered, instructions for use, physician’s name, prescribing VAMC name, address and telephone number. Patient identifiers are purged from the VISTA system after data is received by the production systems and prescription has been fill</td>
<td>Internal connection to VA infrastructure</td>
</tr>
<tr>
<td>Consolidated Mail Outpatient Pharmacy (CMOP)</td>
<td>Health Care</td>
<td>Information includes Patient’s name, address, SSN, Patient Phone Number, Patient Account number, RX number, type of medication, quantity ordered, instructions for use, last time medication was refilled, when the prescription expires, physician’s name, prescribing VAMC name, address and telephone number. Patient identifiers are purged from the VISTA system after data</td>
<td>Internal connection to VA Infrastructure</td>
</tr>
</tbody>
</table>
4.2 PRIVACY IMPACT ASSESSMENT: Internal sharing and disclosure

Discuss the privacy risks associated with the sharing of information within the Department and what
steps, if any, are currently being taken to mitigate those identified risks.
This question is related to privacy control UL-1, Internal Use.

Follow the format below:

**Privacy Risk:** The privacy risk associated with this system is that CMOP could inappropriately
use or disclose information, either intentionally or unintentionally.

**Mitigation:** CMOP mitigates this privacy risk by requiring all users to complete Security and
Privacy Awareness Training, which includes appropriate and inappropriate uses and disclosures
of the information accessible to them as part of their official duties. User activity in the system is
monitored and audited. Should a user inappropriately use or disclose information, he or she is
subject to loss of access and the disclosure will be referred to the appropriate internal
investigation entities. Information is not shared outside of CMOP as part of normal agency
operations. Information may be shared from the source systems from the VAMC of care,
pursuant to published Routine Uses outlined in 24VA10P2 Legal Authority—Title 38, United
States Code, Sections 501(b) and 304.

Section 5. External Sharing/Receiving and Disclosure

The following questions are intended to define the content, scope, and authority for information
sharing external to VA, which includes Federal, State, and local governments, and the private sector.

5.1 With which external organizations (outside VA) is information shared/received? What
information is shared/received, and for what purpose? How is the information transmitted and
what measures are taken to ensure it is secure?

Is the sharing of information outside the agency compatible with the original collection? If so,
is it covered by an appropriate routine use in a SORN? If not, please describe under what legal
mechanism the IT system is allowed to share the information in identifiable form or personally
identifiable information outside of VA.

NOTE: Question 3.10 on Privacy Threshold Analysis should be used to answer this question.
Identify and list the names of any Federal, State, or local government agency or private sector organization with which information is shared.

For each interface with a system outside VA, state what specific data elements (PII/PHI) are shared with each specific partner.

What legal mechanisms, authoritative agreements, documentation, or policies are in place detailing the extent of the sharing and the duties of each party? For example, is the sharing of data compatible with your SORN? Then list the SORN and the applicable routine use from the SORN. Is there a Memorandum of Understanding (MOU), Computer Matching Agreement (CMA), or law that mandates the sharing of this information?

Describe how the information is transmitted to entities external to VA and what security measures have been taken to protect it during transmission.

This question is related to privacy control UL-2, Information Sharing with Third Parties

### Data Shared with External Organizations

<table>
<thead>
<tr>
<th>List External Program Office or IT System information is shared/received with</th>
<th>List the purpose of information being shared / received / transmitted with the specified program office or IT system</th>
<th>List the specific PII/PHI data elements that are processed (shared/received/transmitted) with the Program or IT system</th>
<th>List the legal authority, binding agreement, SORN routine use, etc. that permit external sharing (can be more than one)</th>
<th>List the method of transmission and the measures in place to secure data</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Databank</td>
<td>Prescription fulfillment</td>
<td>Incoming drug information database extracts</td>
<td>MOU/ISA</td>
<td>HTTPS Port 443</td>
</tr>
<tr>
<td>Medline</td>
<td>Prescription fulfillment</td>
<td>Patient SSN, Patient Name, Patient Address (mailing address and home address), Patient Phone Number, Patient account number, prescribing Doctor, medication prescribed, Prescription directions, last time medication was refilled, when the prescription expires.</td>
<td>MOU/ISA</td>
<td>VPN Site to Site</td>
</tr>
<tr>
<td>McKesson</td>
<td>Prescription fulfillment</td>
<td>Patient SSN, Patient Name, Patient Address (mailing address and home address), Patient Phone Number,</td>
<td>MOU/ISA</td>
<td>VPN Site to Site</td>
</tr>
</tbody>
</table>
5.2 PRIVACY IMPACT ASSESSMENT: External sharing and disclosure

Discuss the privacy risks associated with the sharing of information outside the Department and what steps, if any, are currently being taken to mitigate those identified risks.

Discuss whether access controls have been implemented and whether audit logs are regularly reviewed to ensure appropriate sharing outside of the Department. For example, is there a Memorandum of Understanding (MOU), contract, or agreement in place with outside agencies or Discuss how the sharing of information outside of the Department is compatible with the stated purpose and use of the original collection.

This question is related to privacy control AR-2, Privacy Impact and Risk Assessment, AR-3, Privacy Requirements for Contractors and Service Providers, and AR-4, Privacy Monitoring and Auditing

Follow the format below:

**Privacy Risk:** The privacy risk associated with this system is that CMOP could inappropriately use or disclose information, either intentionally or unintentionally.

**Mitigation:** CMOP mitigates this privacy risk by requiring all users to complete security and privacy awareness training, which includes appropriate and inappropriate uses and disclosures of the information accessible to them as part of their official duties. User activity in the system is monitored and audited. Should a user inappropriately use or disclose information, he or she is subject to loss of access and the disclosure will be referred to the appropriate internal investigation entities. Information is not shared outside of CMOP as part of normal agency operations. Information may be shared from the source systems from the VAMC of care, pursuant to published Routine Uses outlined in 24VA10P2 Legal Authority—Title 38, United States Code, Sections 501(b) and 304.
Section 6. Notice

The following questions are directed at providing notice to the individual of the scope of information collected, the right to consent to uses of the information, and the right to decline to provide information.

6.1 Was notice provided to the individual before collection of the information? If yes, please provide a copy of the notice as an appendix. (A notice may include a posted privacy policy, a Privacy Act notice on forms, or a system of records notice published in the Federal Register.) If notice was not provided, why not?

This question is directed at the notice provided before collection of the information. This refers to whether the person is aware that his or her information is going to be collected. A notice may include a posted privacy policy, a Privacy Act statement on forms, or a SORN published in the Federal Register. If notice was provided in the Federal Register, provide the citation.

If notice was not provided, explain why. If it was provided, attach a copy of the current notice.

Describe how the notice provided for the collection of information is adequate to inform those affected by the system that their information has been collected and is being used appropriately. Provide information on any notice provided on forms or on Web sites associated with the collection. This question is related to privacy control TR-1, Privacy Notice, and TR-2, System of Records Notices and Privacy Act Statements, and TR-3, Dissemination of Privacy Program Information.

This is the responsibility of the Medical Center of care. Additional notice is provided through the Notice of Privacy Practices (NOPP) and Privacy Impact Assessments (PIA) which is available online as required by the eGovernment Act of 2002, Pub.L.107-347 § 208(b)(1)(B)(iii), the Department of Veterans Affairs, and the following VA Systems of Record Notices (SORNs) which are published in the Federal Register and available online: SORN title: Patient Medical Records-VA (24VA10P2) https://www.gpo.gov/fdsys/pkg/FR-2014-08-14/pdf/2014-19283.pdf

6.2 Do individuals have the opportunity and right to decline to provide information? If so, is a penalty or denial of service attached?

This question is directed at whether the person from or about whom information is collected can decline to provide the information and if so, whether a penalty or denial of service is attached. This question is related to privacy control IP-1, Consent, IP-2, Individual Access, and IP-3, Redress
Individuals can decline to provide information without a penalty with the exception of the means test process. Non-service-connected Veterans and Veterans who are in receipt of a service-connected compensation of less than 50% may decline to give a financial assessment called a means test and as a result, may be placed in category 8 and billed for certain services. This is the responsibility of the VAMC of Care. Individuals are provided with a copy of IB 10-163, Notice of Privacy Practices, by the Medical Center of record upon verbal or written request. All Veterans receive a copy of this notice from the Health Eligibility Center (HEC) upon enrollment.

6.3 Do individuals have the right to consent to particular uses of the information? If so, how does the individual exercise the right?

This question is directed at whether an individual may provide consent for specific uses, or the consent is given to cover all uses (current or potential) of his or her information. If specific consent is required, how would the individual consent to each use?

This question is related to privacy control IP-1, Consent

Veterans may utilize the 10-5345 (Request for Authorization to Release Medical Records or Information) to state with whom his/her information may be shared. This is done through the VAMC of Record. Veterans have the right to opt in or opt out of the VAMC facility directory. This is done at the VAMC Record.

6.4 PRIVACY IMPACT ASSESSMENT: Notice

Describe the potential risks associated with potentially insufficient notice and what steps, if any, are currently being taken to mitigate those identified risks.

Consider the following FIPPs below to assist in providing a response:

Principle of Transparency: Has sufficient notice been provided to the individual?

Principle of Use Limitation: Is the information used only for the purpose for which notice was provided either directly to the individual or through a public notice? What procedures are in place to ensure that information is used only for the purpose articulated in the notice?

This question is related to privacy control TR-1, Privacy Notice, AR-2, Privacy Impact and Risk Assessment, and UL-1, Internal Use

Follow the format below:

Privacy Risk: The privacy risk associated with this system is that the individual will not have prior or existing notice of data collection and uses of information after collection by the source system.
**Mitigation:** Individuals are provided with a copy of IB 10-163, Notice of Privacy Practices, by the VAMC of Record upon verbal or written request. All Veterans receive a copy of this notice from the Health Eligibility Center (HEC) upon enrollment. PIAs and SORNs are both notices. SORN title: Patient Medical Records-VA (24VA10P2) 

**Section 7. Access, Redress, and Correction**

The following questions are directed at an individual’s ability to ensure the accuracy of the information collected about him or her.

**7.1 What are the procedures that allow individuals to gain access to their information?**

*Cite any procedures or regulations your program has in place that allow access to information. These procedures, at a minimum, should include the agency’s FOIA/Privacy Act practices, but may also include additional access provisions. For example, if your program has a customer satisfaction unit, that information, along with phone and email contact information, should be listed in this section in addition to the agency’s procedures. See 5 CFR 294 and the VA FOIA Web page at http://www.foia.va.gov/ to obtain information about FOIA points of contact and information about agency FOIA processes."

*If the system is exempt from the access provisions of the Privacy Act, please explain the basis for the exemption or cite the source where this explanation may be found, for example, a Final Rule published in the Code of Federal Regulations (CFR).*

*If the system is not a Privacy Act system, please explain what procedures and regulations are in place that covers an individual gaining access to his or her information. This question is related to privacy control IP-2, Individual Access, and AR-8, Accounting of Disclosures.*

All CMOP Freedom of Information Act (FOIA) requests are directed to the VHA FOIA Office. CMOP would provide information requested to the VAMC or VHA FOIA for dissemination. The VAMC of Care holds responsibility for individuals to gain access to their information since they are the primary system of record.

When requesting access to one’s own records, patients are asked to complete VA Form 10-5345a 9 (Individual’s Request for a Copy of their Own Health Information) which can be obtained from the VAMC or online at https://www.va.gov/vaforms/medical/pdf/VHA Form 10-5345a Fill-revision.pdf

Additionally, Veterans and their dependents can gain access to their Electronic Health Record (EHR) by enrolling in the MyHealthevet program which is VA’s online personal health record. More information regarding MyHealthevet may be found at https://myhealth.va.gov/index.html

In addition to the procedures discussed above, the SORN listed in question 6.1 addresses record access, http://www.oprm.va.gov/privacy/systems_of_records.aspx
7.2 What are the procedures for correcting inaccurate or erroneous information?

Describe the procedures and provide contact information for the appropriate person to whom such issues should be addressed. If the correction procedures are the same as those given in question 7.1, state as much.

This question is related to privacy control IP-3, Redress, and IP-4, Complaint Management.

Individuals are provided the opportunity to submit a request for change in a medical record via the amendment process. An amendment is the authorized alteration of health information by modification, correction, addition, or deletion. An individual may request an alteration to their health information by making a formal, written request mailed or delivered to the VA health care facility that maintains the record. The request must be in writing and adequately describe the specific information the individual believes to be inaccurate, incomplete, irrelevant, or untimely and the reason for this belief. A request for amendment of information contained in a system of records will be processed by the PO. In reviewing requests to amend or correct records, the PO must be guided by the criteria set forth in VA regulation 38 CFR 1.579. VA must maintain in its records only such information about an individual that is accurate, complete, timely, relevant, and necessary.

Individuals have the right to review and change their contact or demographic information at time of appointment or upon arrival at the VA facility and/or submit a change of address request form to the VAMC of Care Business Office for processing.

7.3 How are individuals notified of the procedures for correcting their information?

How are individuals made aware of the procedures for correcting his or her information? This may be through notice at collection or other similar means. This question is meant to address the risk that even if procedures exist to correct information, if an individual is not made fully aware of the existence of those procedures, then the benefits of the procedures are significantly weakened.

This question is related to privacy control IP-3, Redress, and IP-4, Complaint Management.

Verbal inquiries regarding the amendment request process are generally received by the VAMC of Care Business Office, Release of Information Office, Patient Experience Officer, or PO. Inquiries regarding the amendment request process can be explained by any member of the VAMC of Care, Release of Information Office, Patient Experience Officer, or the PO. The amendment process is also explained in the Notice of Privacy Practices (NOPP). Individuals are provided with a copy of IB 10-163, Notice of Privacy Practices, by the VAMC of Record upon verbal or written request. All Veterans receive a copy of this notice from the HEC upon enrollment.

7.4 If no formal redress is provided, what alternatives are available to the individual?

Redress is the process by which an individual gains access to his or her records and seeks corrections or amendments to those records. Redress may be provided through the Privacy Act and
Freedom of Information Act (FOIA), and also by other processes specific to a program, system, or group of systems. This question is related to privacy control IP-3, Redress, and IP-4, Complaint Management.

Example: Some projects allow users to directly access and correct/update their information online. This helps ensure data accuracy.

The VAMC of Care PO provides appeal rights to the Office of General Counsel or VHA Privacy Office via the written response to the Veteran regarding the outcome of the amendment request.

7.5 PRIVACY IMPACT ASSESSMENT: Access, redress, and correction
Discuss what risks there currently are related to the Department’s access, redress, and correction policies and procedures for this system and what, if any, steps have been taken to mitigate those risks. For example, if a project does not allow individual access, the risk of inaccurate data needs to be discussed in light of the purpose of the project. For example, providing access to ongoing law enforcement activities could negatively impact the program’s effectiveness because the individuals involved might change their behavior.

Consider the following FIPPs below to assist in providing a response:

Principle of Individual Participation: Is the individual provided with the ability to find out whether a project maintains a record relating to him?

Principle of Individual Participation: If access and/or correction is denied, then is the individual provided notice as to why the denial was made and how to challenge such a denial?

Principle of Individual Participation: Is there a mechanism by which an individual is able to prevent information about him obtained for one purpose from being used for other purposes without his knowledge?
This question is related to privacy control IP-3, Redress.

Follow the format below:
Privacy Risk: The privacy risk associated with this system is that patients will not have the ability to assess or correct their information once it is at the CMOP. This must be done prior to transmitting the information to CMOP at the VAMC of Care.

Mitigation: The CMOP CPS and LANs are merely conduits for the information maintained at the VAMC. We do not change or manipulate the data we receive. The VAMC can request that we cancel back a prescription to them prior to dispensing so they can alter the data. Information related to access, redress, and correction can also be found in the applicable SORN: http://www.gpo.gov/fdsys/pkg/FR-2014-08-14/pdf/2014-19283.pdf
Section 8. Technical Access and Security

The following questions are intended to describe technical safeguards and security measures.

8.1 What procedures are in place to determine which users may access the system, and are they documented?

Describe the process by which an individual receives access to the system.

Identify users from other agencies who may have access to the system and under what roles these individuals have access to the system. Who establishes the criteria for what PII can be shared?

Describe the different roles in general terms that have been created to provide access to the system. For example, certain users may have "read-only" access while others may be permitted to make certain amendments or changes to the information.

This question is related to privacy control AR-7, Privacy-Enhanced System Design and Development.

SAFEGUARDS:
Access is restricted to VA employees who must complete both the HIPAA and Information Security training. Specified access is granted based on the employee’s functional category. Role based training is required for individuals with significant information security responsibilities to include but not limited to Information System Security Officers (ISSOs), Facility Chief Information Officers (FCIOs), System Administrators (SAs), Network Administrators (NAs), Database Managers (DMs), users of VA information systems or VA sensitive information.

Access is requested utilizing Enterprise Service Desk (ESD) procedures. Electronic Permission Access System (ePAS) is used for elevated privileges. Users submit access requests based on need to know and job duties. These requests are submitted for VA employees, contractors and all outside agencies and are processed through the appropriate approval processes. Once access is granted, individuals can log into the system(s) through dual authentication, i.e., a Personal Identity Verification (PIV) card with a PIN. Once inside the system, individuals are authorized to access information on a need-to-know basis.

Strict physical security control measures are enforced to ensure that disclosure to these individuals is also based on this same principle. Generally, VA file areas are locked however specifics on how this is done can be found in the program office PTA and PIA.

Access to computer rooms is generally limited by appropriate locking devices and restricted to authorized VA employees and vendor personnel. Automated Data Processing (ADP) peripheral devices are placed in secure areas (areas that are locked or have limited access) or are otherwise protected. Information that is downloaded from VistA and maintained on laptops and other approved government equipment is afforded similar storage and access protections as the data that is maintained in the original files. Access to information stored on automated storage media...
at other VA locations is controlled by individually unique passwords/codes. Access by Office of Inspector General (OIG) staff conducting an audit, investigation, or inspection at the health care facility, or an OIG office location remote from the health care facility, is controlled in the same manner. Information downloaded from VistA and maintained by the OIG headquarters and Field Offices on automated storage media is secured in storage areas for facilities to which only OIG staff have access.

Paper documents are similarly secured. Access to paper documents and information on automated storage media is limited to OIG employees who have a need for the information in the performance of their official duties. Access to information stored on automated storage media is controlled by individually unique passwords/codes.

### 8.2 Will VA contractors have access to the system and the PII? If yes, what involvement will contractors have with the design and maintenance of the system? Has a contractor confidentiality agreement, Business Associate Agreement (BAA), or a Non-Disclosure Agreement (NDA) been developed for contractors who work on the system?

If so, how frequently are contracts reviewed and by whom? Describe the necessity of the access provided to contractors to the system and whether clearance is required. If Privacy Roles and Responsibilities have been established to restrict certain users to different access levels, please describe the roles and associated access levels. Explain the need for VA contractors to have access to the PII.

This question is related to privacy control AR-3, Privacy Requirements for Contractors and Service Providers.

Certain contractors have been granted access to the CPS and CMOP LANs. Access is necessary to fulfill their contract. Security clearances are required as well as VA Security and Privacy Training. The following training is required at onboarding and annually via the VA Talent Management System (TMS): (1) Information Security and Privacy Awareness and Rules of Behavior; and (2) Privacy and HIPAA training must also be completed if access to PHI. Contracts and access are reviewed annually. BAAs are obtained on contracts for which it is determined one is needed.

### 8.3 Describe what privacy training is provided to users either generally or specifically relevant to the program or system?

VA offers privacy and security training. Each program or system may offer training specific to the program or system that touches on information handling procedures and sensitivity of information. Please describe how individuals who have access to PII are trained to handle it appropriately.

This question is related to privacy control AR-5, Privacy Awareness and Training.

All VA employees who have access to VA computers must complete the onboarding and annual mandatory privacy and information security training. In addition, all employees who have access to PHI must complete the VHA mandated Privacy and HIPAA Focused training. The PO and ISSO also perform subject specific training on an as needed basis.

### 8.4 Has Authorization and Accreditation (A&A) been completed for the system?

Version Date: October 1, 2021
If Yes, provide:

1. The Security Plan Status,
2. The Security Plan Status Date,
3. The Authorization Status,
4. The Authorization Date,
5. The Authorization Termination Date,
6. The Risk Review Completion Date,
7. The FIPS 199 classification of the system (LOW/MODERATE/HIGH).

Please note that all systems containing SPI are categorized at a minimum level of “moderate” under Federal Information Processing Standards Publication 199.

If No or In Process, provide your Initial Operating Capability (IOC) date.

Security Plan Status: Current through 3/25/2025
Security Plan Status Date: 12/22/2021
Authorization Status: Full Authority to Operate (ATO)
Authorization Date: 3/25/2022
Authorization Termination Date: 3/25/2025
Risk Review Completion Date: 7/28/2022
FIPS 199 Classification: High

Section 9 – Technology Usage
The following questions are used to identify the technologies being used by the IT system or project.

9.1 Does the system use cloud technology? If so, what cloud model is being utilized?

If so, Does the system have a FedRAMP provisional or agency authorization? If the system does use cloud technology, but does not have FedRAMP authorization, explain how the Cloud Service Provider (CSP) solution was assessed and what FedRAMP documents and processes were used for the assessment in order to comply with VA Handbook 6517. Types of cloud models include: Software as a Service (SaaS), Infrastructure as a Service (IaaS), Platform as a Service (PaaS), Commercial off the Shelf (COTS).

This question is related to privacy control UL-1, Information Sharing with Third Parties.

Note: For systems utilizing the VA Enterprise Cloud (VAEC), no further responses are required after 9.1.

No
9.2 Does the contract with the CSP, Contractors and VA customers establish who has ownership rights over data including PII? (Provide contract number and supporting information about PII/PHI from the contract)

This question is related to privacy control AR-3, Privacy Requirements for Contractors and Service Providers.

No Cloud Technology in use

9.3 Will the CSP collect any ancillary data and if so, who has ownership over the ancillary data?

Per NIST 800-144, cloud providers hold significant details about the accounts of cloud consumers that could be compromised and used in subsequent attacks. Ancillary data also involves information the cloud provider collects or produces about customer-related activity in the cloud. It includes data collected to meter and charge for consumption of resources, logs and audit trails, and other such metadata that is generated and accumulated within the cloud environment.

This question is related to privacy control DI-1, Data Quality.

No Cloud Technology in use

9.4 NIST 800-144 states, “Organizations are ultimately accountable for the security and privacy of data held by a cloud provider on their behalf.” Is this principle described in contracts with customers? Why or why not?

What are the roles and responsibilities involved between the organization and cloud provider, particularly with respect to managing risks and ensuring organizational requirements are met?

This question is related to privacy control AR-3, Privacy Requirements for Contractors and Service Providers.

No Cloud Technology in use

9.5 If the system is utilizing Robotics Process Automation (RPA), please describe the role of the bots.

Robotic Process Automation is the use of software scripts to perform tasks as an automated process that executes in parallel with or in place of human input. For example, will the automation move or touch PII/PHI information. RPA may also be referred to as “Bots” or Artificial Intelligence (AI).

The role of the BOTS is to process prescriptions.
**Section 10. References**

**Summary of Privacy Controls by Family**

<table>
<thead>
<tr>
<th>ID</th>
<th>Privacy Controls</th>
</tr>
</thead>
<tbody>
<tr>
<td>AP</td>
<td>Authority and Purpose</td>
</tr>
<tr>
<td>AP-1</td>
<td>Authority to Collect</td>
</tr>
<tr>
<td>AP-2</td>
<td>Purpose Specification</td>
</tr>
<tr>
<td>AR</td>
<td>Accountability, Audit, and Risk Management</td>
</tr>
<tr>
<td>AR-1</td>
<td>Governance and Privacy Program</td>
</tr>
<tr>
<td>AR-2</td>
<td>Privacy Impact and Risk Assessment</td>
</tr>
<tr>
<td>AR-3</td>
<td>Privacy Requirements for Contractors and Service Providers</td>
</tr>
<tr>
<td>AR-4</td>
<td>Privacy Monitoring and Auditing</td>
</tr>
<tr>
<td>AR-5</td>
<td>Privacy Awareness and Training</td>
</tr>
<tr>
<td>AR-7</td>
<td>Privacy-Enhanced System Design and Development</td>
</tr>
<tr>
<td>AR-8</td>
<td>Accounting of Disclosures</td>
</tr>
<tr>
<td>DI</td>
<td>Data Quality and Integrity</td>
</tr>
<tr>
<td>DI-1</td>
<td>Data Quality</td>
</tr>
<tr>
<td>DI-2</td>
<td>Data Integrity and Data Integrity Board</td>
</tr>
<tr>
<td>DM</td>
<td>Data Minimization and Retention</td>
</tr>
<tr>
<td>DM-1</td>
<td>Minimization of Personally Identifiable Information</td>
</tr>
<tr>
<td>DM-2</td>
<td>Data Retention and Disposal</td>
</tr>
<tr>
<td>DM-3</td>
<td>Minimization of PII Used in Testing, Training, and Research</td>
</tr>
<tr>
<td>IP</td>
<td>Individual Participation and Redress</td>
</tr>
<tr>
<td>IP-1</td>
<td>Consent</td>
</tr>
<tr>
<td>IP-2</td>
<td>Individual Access</td>
</tr>
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<td>IP-3</td>
<td>Redress</td>
</tr>
<tr>
<td>IP-4</td>
<td>Complaint Management</td>
</tr>
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<td>Security</td>
</tr>
<tr>
<td>SE-1</td>
<td>Inventory of Personally Identifiable Information</td>
</tr>
<tr>
<td>SE-2</td>
<td>Privacy Incident Response</td>
</tr>
<tr>
<td>TR</td>
<td>Transparency</td>
</tr>
<tr>
<td>TR-1</td>
<td>Privacy Notice</td>
</tr>
<tr>
<td>TR-2</td>
<td>System of Records Notices and Privacy Act Statements</td>
</tr>
<tr>
<td>TR-3</td>
<td>Dissemination of Privacy Program Information</td>
</tr>
<tr>
<td>UL</td>
<td>Use Limitation</td>
</tr>
<tr>
<td>ID</td>
<td>Privacy Controls</td>
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</tr>
<tr>
<td>UL-1</td>
<td>Internal Use</td>
</tr>
<tr>
<td>UL-2</td>
<td>Information Sharing with Third Parties</td>
</tr>
</tbody>
</table>
Signature of Responsible Officials
The individuals below attest that the information provided in this Privacy Impact Assessment is true and accurate.

COURTNEY ALBRITTON  
Digitally signed by COURTNEY ALBRITTON  
Date: 2022.08.22 12:57:37 -04'00'

Privacy Officer, Courtney Albritton

Anna J. Johnson 378853  
Digitally signed by Anna J. Johnson  
378853  
Date: 2022.08.22 10:33:35 -07'00'

Information System Security Officer (ISSO), Anna J. Johnson

JULIE HAWKINS  
Digitally signed by JULIE HAWKINS  
Date: 2022.08.22 12:41:50 -05'00'

Information System Security Officer (ISSO), Julie A. Hawkins

John E. Koveos 3521163  
Digitally signed by John E. Koveos  
3521163  
Date: 2022.08.29 10:58:06 -04'00'

Information System Owner, John Koveos
APPENDIX A-6.1

Please provide a link to the notice or verbiage referred to in Section 6 (a notice may include a posted privacy policy; a Privacy Act notice on forms).