



Privacy Impact Assessment for the VA IT System called:

EHRM 724 Downtime  
Viewer (DTV) Workstation  
VA Central Offices (VACO)  
Electronic Health Record Modernization  
Integration Office (EHRM-IO)  
eMASS ID #2395

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System Contacts:

*System Contacts*

	Name	E-mail	Phone Number
Privacy Officer	Angela Pluff	Angela.Pluff@va.gov	315-263-3653
Information System Security Officer (ISSO)	Jeremy Drake	Jeremy.Drake@va.gov	509-956-8865
Information System Owner	Michael Hartzell	Michael.Hartzell1@va.gov	803-406-0112

## Abstract

*The abstract provides the simplest explanation for “what does the system do?”.*

The Electronic Health Record Modernization (EHRM) 724 Downtime Viewer (DTV) Workstation provides continuous access to clinical data available in the production database of the Federal Electronic Health Record (EHR), also known as Millennium, when the Federal EHR or supporting infrastructure is otherwise unavailable. The EHRM 724 DTV Workstation includes the 724 DTV Admin application which administers to the 724 DTV workstations for activities such as setup, adding MySQL users, starting Oracle GoldenGate processes for replicating data from mid-tiers, monitoring overall load and usage, and other administrative functions dedicated to support the delivery of health care throughout the Veterans Health Administration (VHA) operating environments including both VA Medical Centers (VAMCs) and Community Based Outpatient Clinics (CBOCs).

## 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:*

### *1. General Description*

- A. What is the IT system name and the name of the program office that owns the IT system?*  
The full name of the system is The Electronic Health Record Modernization (EHRM) 724 Downtime Viewer (DTV) Workstation which is owned by the VA Electronic Health Record Modernization Integration Office (EHRM-IO).
- B. What is the business purpose of the program, IT system, or technology and how it relates to the program office and agency mission?*  
EHRM 724 DTV Workstation enables clinicians to access patient data offline when the Millennium database inside the Federal enclave is unavailable.
- C. Who is the owner or control of the IT system or project?*  
The system is owned but not operated by the VA EHRM-IO.

### *2. Information Collection and Sharing*

- D. What is the expected number of individuals whose information is stored in the system and a brief description of the typical client or affected individual?*  
The 724 DTV workstations would only display, not store, individual patient information. The number of patient records being displayed by each workstation would vary from zero (0) to a few hundred depending on the user/provider’s daily workload.
- E. What is a general description of the information in the IT system and the purpose for collecting this information?*

The EHRM 724 DTV Workstation is an ancillary system designed to support clinicians during unplanned and planned incidents when the primary Millennium database inside the

Federal enclave is unavailable or unreachable including in the event of a complete network outage. The answer to question 1.1. provides a full list of key data elements processed by the system. Meanwhile, the intended purpose(s) of use of each key data element can be found in the answer to question 2.1.

F. *What information sharing is conducted by the IT system? A general description of the modules and subsystems, where relevant, and their functions.*

The information displayed by EHRM 724 DTV Workstation is a subset of clinical and demographic data related to a patient's current encounter collected from the Millennium EHR database.

G. *Is the system 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?*

The system will be gradually deployed in all sites, i.e. VAMC's and/or CBOC's, across the country with the same configuration and safeguarded by the same set of security and privacy controls, in accordance with VA Directive & Handbook 6500 series.

### 3. *Legal Authority and SORN*

H. *What is the citation of the legal authority to operate the IT system?*

The legal authority to collect data pursuant to the Privacy Act of 1974 is stated in VA SORN 24VA10A7, *Patient Medical Records-VA*, published in FR 85, 62406, on October 2, 2020. The authority to operate the system is stated in Title 38 U.S.C. § 501(b) and 304.

I. *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?*

No SORN amendment or revision is expected.

### 4. *System Changes*

J. *Will the completion of this PIA will result in circumstances that require changes to business processes?*

No change to existing business processes is expected as a result of this PIA completion.

K. *Will the completion of this PIA potentially result in technology changes?*

The completion of this PIA will not result in any technology change of the underlined system.

## **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 (II), 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://vawww.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. It must also match the information provided in question 3.4 of the PTA.*

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:

- |   |   |   |
|---|---|---|
| <input checked="" type="checkbox"/> Name                  | <input checked="" type="checkbox"/> Health Insurance    | <input checked="" type="checkbox"/> Integrated Control  |
| <input checked="" type="checkbox"/> Social Security       | Beneficiary Numbers                                     | Number (ICN)  |
| Number  | Account Numbers   | <input checked="" type="checkbox"/> Military            |
| <input checked="" type="checkbox"/> Date of Birth         | <input checked="" type="checkbox"/> Certificate/License | History/Service   |
| <input type="checkbox"/> Mother's Maiden Name             | numbers <sup>1</sup>                                    | Connection  |
| <input checked="" type="checkbox"/> Personal Mailing      | <input type="checkbox"/> Vehicle License Plate          | <input type="checkbox"/> Next of Kin                    |
| Address   | Number  | <input checked="" type="checkbox"/> Other Data Elements |
| <input checked="" type="checkbox"/> Personal Phone        | <input type="checkbox"/> Internet Protocol (IP)         | (list below)  |
| Number(s)   | Address Numbers   |   |
| <input checked="" type="checkbox"/> Personal Fax Number   | <input checked="" type="checkbox"/> Medications         |   |
| <input checked="" type="checkbox"/> Personal Email        | <input checked="" type="checkbox"/> Medical Records     |   |
| Address   | <input checked="" type="checkbox"/> Race/Ethnicity      |   |
| <input checked="" type="checkbox"/> Emergency Contact     | <input checked="" type="checkbox"/> Tax Identification  |   |
| Information (Name, Phone                                  | Number  |   |
| Number, etc. of a different                               | <input checked="" type="checkbox"/> Medical Record      |   |
| individual)   | Number  |   |
| <input checked="" type="checkbox"/> Financial Information | <input checked="" type="checkbox"/> Gender              |   |

Other PII/PHI data elements: Electronic Data Interchange Personal Identifier (EDIPI) as the prime identifier as medical record number (MRN), guardian information, employment information, veteran dependent information, service-connected rating and disabilities, clinical encounter/medical records.

### PII Mapping of Components (Servers/Database)

**EHRM 724 DTV Workstation** system consists of 1 key component (servers/databases/instances/applications/software/application programming interfaces (API). Each component has been analyzed to determine if any elements of that component collect PII. The type of PII collected by **EHRM 724 DTV Workstation** and the reasons for the collection of the PII are in the table below.

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

<sup>1</sup> \*Specify type of Certificate or License Number (e.g., Occupational, Education, Medical)

Internal Components Table

Component Name (Database, Instances, Application, Software, Application Program Interface (API) etc.) that contains PII/PHI	Does this system collect PII? (Yes/No)	Does this system store PII? (Yes/No)	Type of PII (SSN, DOB, etc.)	Reason for Collection/ Storage of PII	Safeguards
724 DTV Application	Yes	Yes	<ul style="list-style-type: none"> <li>• EDIPI as MRN</li> <li>• ICN</li> <li>• SSN</li> <li>• Name</li> <li>• Date of Birth</li> <li>• Personal Mailing Address</li> <li>• Personal Phone Number(s)</li> <li>• Personal Fax Number</li> <li>• Personal Email Address</li> <li>• Emergency Contact Information</li> <li>• Financial Information</li> <li>• Health Insurance Beneficiary Numbers/Account Numbers</li> <li>• Certificate/License Numbers</li> <li>• Race/Ethnicity</li> <li>• Tax Identification Numbers</li> <li>• Gender</li> <li>• Military History/Service Connection</li> <li>• Guardian Information</li> <li>• Employment Information</li> <li>• Veteran Dependent Information</li> <li>• Service-Connected Rating and Disabilities.</li> <li>• Medical Records.</li> </ul>	Healthcare Operations	System to system electronic transmission – Transport Layer Security (TLS)

**1.2 What are the sources of the information in the system?**

*These questions are related to privacy controls DI-1, Data Quality, and IP-1, Consent.*

*1.2a 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?*

Patient data displayed by EHRM 724 DTV Workstation are originated from the 724 Mid-Tier component of Millennium (the EHRM Defense Healthcare Management System Modernization (DHMSM) EHR Core system) then pushed to local Forward Deployed Solution Set (FDSS) 724 DTV Pumper.

*1.2b 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 indicate why the system is using this source of data.*

Information is sourced from 724 DTV Pumper for displaying on 724 DTV Workstations during Millennium downtime/offline period so that providers can continue their healthcare activities without interruption.

*1.2c Does the system create information (for example, a score, analysis, or report), list the system as a source of information?*

The system does not create new information.

### **1.3 How is the information collected?**

*These questions are related to privacy controls DI-1, Data Quality, and IP-1, Consent.*

*1.3a 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 technologies used in the storage or transmission of information in identifiable form?*

Information is not collected directly from individuals. It is collected from the DHMSM EHR Core system inside the Federal enclave.

*1.3b If the information is collected on a form and is subject to the Paperwork Reduction Act, what is the form's OMB control number and the agency form number?*

Information is not collected on a form and is not subject to the Paperwork Reduction Act.

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

*These questions are related to privacy controls DI-1, Data Quality, and DI-2, Data Integrity and Integrity Board.*

*1.4a 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.*

Information accuracy validation/check mechanism is performed by the source system (Millennium/EHR Core), not by this transactional system.

*1.4b Does the system check for accuracy by accessing a commercial aggregator of information, describe this process and the levels of accuracy required by the contract?*

Data integrity, along with data confidentiality, is satisfied by means of deploying Group Encrypted Transport Virtual Private Network (GETVPN) and DoD-authorized Oracle Cerner Monitor and

Management tools. No commercial aggregator tool is used. Data accuracy checking mechanisms have been built in the (source) EHR database and Oracle Health Monitor and Management Tools.

### **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*

The authority for the system to collect, use, and disseminate information about individuals that is maintained in systems of records by federal agencies, in accordance with the code of fair information practices established by the Privacy Act of 1974, as amended, Title 38 U.S.C. § 501(b) and 304, and VA System of Record Notice (SORN) 24VA10A7, *Patient Medical Records-VA*, published in FR 85, 62406, on October 2, 2020 (<https://www.govinfo.gov/content/pkg/FR-2020-10-02/pdf/2020-21426.pdf>). A biennial review of the SORN was conducted by the VHA Privacy Office in 2022 without any change recommended.

### **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. (Work with your System ISSO to complete this section)*

*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:** A risk of violating the privacy Principle of Purpose Specification may arise if patient data is displayed for purposes other than healthcare treatment/operations.



**Mitigation:** The EHRM-IO implements various system security and data privacy controls such as access control, identification and authentication management, configuration/change control, audit & accountability, personnel security, authority & purpose, and awareness training to ensure patient data can only be accessed by authorized users for pre-defined authorized purpose(s) of use.

## 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 that 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.*

PII/PHI Data Element	Internal Use	External Use
Name	Used to identify the patient during appointments and in other forms of communication	Not used
Social Security Number (SSN)	Used as a patient identifier and as a resource for verifying income Information with the Social Security Administration	Not used
Date of Birth	Used to identify age and confirm identity of patient	Not used
Personal Mailing Address	Used for communication, billing purposes and calculate travel pay	Not used
Personal Phone Number(s)	Used for communication, confirmation of appointments and to conduct telehealth appointments.	Not used
Personal Email Address	Used for communication and Patient Portal secure communications	Not used
Personal Fax Number	Used to send forms of communication and records to business contacts,	Not used
Emergency Contact Information	Including name, phone number, etc. of a different individual - used in cases of emergent situations such as medical emergencies.	Not used
Financial Information	Used to calculate co-payments and VA health care benefit eligibility	Not used
Health Insurance Beneficiary Numbers/ Account Numbers	Used to communicate and bill third party Health care plans	Not used
Certificate/License Numbers	Used to track and verify legal authority to practice medicine and licensure for health care workers in an area of expertise.	Not used
Medications	Used within the medical records for health care purposes/treatment, prescribing medications and allergy interactions	Not used



<b>PII/PHI Data Element</b>	<b>Internal Use</b>	<b>External Use</b>
Race/Ethnicity	Used for patient demographic information and for indicators of ethnicity-related diseases.	Not used
Tax Identification Number (TIN)	Used for user identification and financial/taxation transaction verification purposes.	Not used
Medical Record Number (MRN)	Replaced/combined with EDIPI	Not used
Gender	Used to identify patient demographic, type of medical care/provider and medical tests required in healthcare operations	Not used
Guardian Information	Name, contact information of the guardian(s) for use in healthcare operations when patient is unable to make decisions for themselves	Not used
Employment Information	Used to determine employment/benefit eligibility and for veteran contact, financial verification. patient wellness education information helps improve care quality, financial sustainability, ability to diagnose diseases, and reduce or prevent errors.	Not used
Veteran Dependent Information	Used to determine benefit support and as an emergency contact person	Not used
Service-Connected Rating and Disabilities	Used to determine VA health care eligibility and treatment plans/programs	Not used
Military History/Service Connection	Used to evaluate medical conditions that could be related to location of military time served. It is also used to determine VA benefit and health care eligibility.	Not used
Integrated Control Number (ICN)	Legacy identifier to identify/verify record	Not used
Electronic Data Interchange Personal Identifier (EDIPI) as Medical Record Number (MRN)	Prime identifier to identify/verify patients and their records	Not used
Medical Records	Used for continuity of health care, typically including but not limited to problems, allergies, medications, procedures, and immunizations (PAMPI), patient-doctor encounter data such as doctor's appointment, medical screening or education or wellness, satisfaction survey, lab test and results.	Not used

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

*These questions are related to privacy controls DI-1, Data Quality, DI-2, Data Integrity and Integrity Board, and SE-1, Inventory of Personally Identifiable Information.*

*2.2a 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?*

This is a transactional system without the capability to analyze data.

*2.2b 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.*

The system does not create new information.

### **2.3 How is the information in the system secured?**

*These questions are related to security and privacy controls SC-9, Transmission Confidentiality, and SC-28, Protection of Information at Rest.*

*2.3a What measures are in place to protect data in transit and at rest?*

Group Encrypted Transport VPN (GETVPN) is deployed to safeguard data in transit. This transactional system does not have a database hence, no measure needed to protect data at rest.

*2.3b If the system is collecting, processing, or retaining Social Security Numbers, are there additional protections in place to protect SSNs?*

The security and privacy controls implemented for the system are determined sufficient during the system and data security categorization process to safeguard SSN as well as other data elements identified.

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

The system security risk level is categorized at Moderate, in accordance with Federal Information Processing Standards (FIPS) Publication 199, and meets requirements set forth by OMB Memorandum M-06-15, *Safeguarding Personally Identifiable Information*. A set of more than 300 security and privacy controls have been selected and implemented commensurate to the system risk level to include technical, operational, and administrative controls covering access controls, identification & authentication, personnel security, physical security, audit & accountability incident response.

## **2.4 PRIVACY IMPACT ASSESSMENT: Use of the information.**

*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.*

*2.4a How is access to the PII determined?*

Access to patient data displayed by this transactional system is determined based on the Need-to-Know principle and following the Millennium/EHR Core user account provisioning and access control Standard Operating Procedure (SOP).

*2.4b Are criteria, procedures, controls, and responsibilities regarding access documented?*

User provisioning and identification and authentication processes are documented in the Millennium/EHR Core user account provisioning and access control SOP. The SOP covers criteria, procedures, roles and responsibilities, and applicable security and privacy controls in accordance with applicable Federal and VA policies, procedures, and standards.

*2.4c Does access require manager approval?*

Yes, access to the system must have direct supervisor/manager approval.

*2.4d Is access to the PII being monitored, tracked, or recorded?*

Network and system auditing and monitoring controls are in place in accordance with applicable Federal and VA information security & privacy policies, procedures, and standards.

*2.4e Who is responsible for assuring safeguards for the PII?*

The System Owner is ultimately responsible for assuring safeguards for the PII collected and processed by the system.

## 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*

None of the PII/PHI information from table 1.1 is retained by the system. The data elements are only displayed by this transactional system.

### 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. **The VA records officer should be consulted early in the development process to ensure that appropriate retention and destruction schedules are implemented.** If the system is using cloud technology, will it be following the NARA approved retention length and schedule? This question is related to privacy control DM-2, Data Retention and Disposal.*

This system does not retain patient data. VA Record Control Schedule (RCS) 10-1 governs the retention of system-related information.

### 3.3 Has the retention schedule been approved by the VA records office and the National Archives and Records Administration (NARA)?

*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. Please work with the system Privacy Officer and VA Records Officer to answer these questions. This question is related to privacy control DM-2, Data Retention and Disposal.*

*3.3a Are all records stored within the system of record indicated on an approved disposition authority?*

This system does not retain patient data. VA Record Control Schedule (RCS) 10-1 governs the retention of system-related information. RCS.10-1 has been approved by VA Record Management and NARA.

*3.3b Please indicate each records retention schedule, series, and disposition authority?*

This system does not retain patient data. VA Record Control Schedule (RCS) 10-1 governs the retention of system-related information.

### 3.4 What are the procedures for the elimination or transfer of SPI?

*Explain how records are destroyed, eliminated or transferred to NARA at the end of their mandatory 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.*

This system does not retain patient data. VA Record Control Schedule (RCS) 10-1 governs the retention of system-related information.

### 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. This question is related to privacy control DM-3, Minimization of PII Used in Testing, Training and Research.*

This system does not use PII for research, testing, or training.

### **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. (Work with your System ISSO to complete all Privacy Risk questions inside the document this section).*

*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:** This system does not retain patient data.

**Mitigation:** This system does not retain patient data.

## 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

<b>List the Program Office or IT System information is shared/received with</b>	<b>List the purpose of the information being shared /received with the specified program office or IT system</b>	<b>List the specific PII/PHI data elements that are processed (shared/received/transmitted) with the Program Office or IT system</b>	<b>Describe the method of transmittal</b>
EHRM Forward Deployed Solution Set (FDSS) 724 Down Time Viewer Pumper	Healthcare Operations	<ul style="list-style-type: none"> <li>•Electronic Data Interchange Personal Identifier (EDIPI) as Medical Record Number (MRN)</li> <li>• Integrated Control Number (ICN)</li> <li>• Social Security Number (SSN)</li> <li>• Name</li> <li>• Date of Birth</li> <li>• Personal Mailing Address</li> <li>• Personal Phone Number(s)</li> <li>• Personal Fax Number</li> <li>• Personal Email Address</li> </ul>	Group encrypted transport virtual private network (GETVPN)

<i>List the Program Office or IT System information is shared/received with</i>	<i>List the purpose of the information being shared /received with the specified program office or IT system</i>	<i>List the specific PII/PHI data elements that are processed (shared/received/transmitted) with the Program Office or IT system</i>	<i>Describe the method of transmittal</i>
		<ul style="list-style-type: none"> <li>• Emergency Contact Information</li> <li>• Financial Information</li> <li>• Health Insurance Beneficiary Numbers/Account Numbers</li> <li>• Certificate/License Numbers</li> <li>• Race/Ethnicity.</li> <li>• Tax Identification Number (TIN)</li> <li>• Gender</li> <li>• Military History/Service Connection</li> <li>• Guardian Information</li> <li>• Employment Information</li> <li>• Veteran Dependent Information</li> <li>• Service-Connected Rating and Disabilities</li> <li>• Medical Records</li> </ul>	

**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. (Work with your System ISSO to complete all Privacy Risk questions inside the document this section).*

*This question is related to privacy control UL-1, Internal Use.*

**Privacy Risk:** A privacy risk may arise if patient data is shared with internal (VA) parties without proper disclosure authorization.

**Mitigation:** To mitigate the risk of unauthorized disclosure, a set of security and privacy controls has been selected and implemented, including but not limited to access control, identification and authentication management, configuration/change control, audit & accountability, personnel security, awareness & training, privacy & HIPAA training, authority & purpose, and use limitation.

**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*

<i>List External Program Office or IT System information is shared/received with</i>	<i>List the purpose of information being shared / received / transmitted with the specified program office or IT system</i>	<i>List the specific PII/PHI data elements that are processed (shared/received/transmitted) with the Program or IT system</i>	<i>List the legal authority, binding agreement, SORN routine use, etc. that permit external sharing (can be more than one)</i>	<i>List the method of transmission and the measures in place to secure data</i>
N/A	N/A	N/A	N/A	N/A

**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.*

*If no External Sharing listed on the table above, (State there is no external sharing in both the risk and mitigation fields).*

*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 foreign governments.*

*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:** There is no external sharing.

**Mitigation:** There is no external sharing.

## 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 6.1 on the last page of the document. Also provide notice given to individuals by the source system (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?**

*These questions are 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.*

*6.1a 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, Notice of Privacy Practice provided to individuals for VHA systems. If notice was provided in the Federal Register, provide the citation.*

Since data used in this system is sourced from the EHR Core system, the same privacy control sets applicable to the EHR Core system will be used for this system. With reference to the “Notice” requirements, beside the SORN publication in the Federal Register in October 2020 as having mentioned in 1.5 which can be found at <https://www.govinfo.gov/content/pkg/FR-2020-10-02/pdf/2020-21426.pdf>, the current publication of the VHA Notice of Privacy Practices (NOPP) can be found in the VHA webpage, <http://www.va.gov/health/>, under the “Resources” section. A copy of the NOPP must be provided to a patient/Veteran in person when they present for services. Alternatively, a copy of the most recently distributed NOPP will be mailed to eligible veterans every 3 years by the VHA. A copy of the NOPP must be provided to non-Veteran / humanitarian patients in person when they present for services.

*6.1b If notice was not provided, explain why. If it was provided, attach a copy of the current notice.*

A notice specific for this system is not provided as the collection of data occurs under the EHR Core system and therefore this requirement has been met as specified under that system. For the EHR Core system, the latest publication of the VHA Notice of Privacy Practices (NOPP) can be found in the VHA webpage at this link [https://www.va.gov/files/2022-10/10-163p\\_%28004%29\\_-Notices\\_of\\_Privacy\\_Practices-PRINT\\_ONLY.pdf](https://www.va.gov/files/2022-10/10-163p_%28004%29_-Notices_of_Privacy_Practices-PRINT_ONLY.pdf). Individual

patients/Veterans can also access the same NOPP publication when logging in their account in the patient portal MyhealthVet. Also, a copy of the NOPP must be provided to a non-Veteran/humanitarian patient in person when they present for services. Alternatively, a copy of the revised/latest NOPP will be mailed to eligible veterans every 3 years by the VHA.

*6.1c 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.*

A notice specific to this system is not provided as the initial collection of data occurs under the EHR Core system. Specifically, The Notice of Privacy Practice (NOPP) is a document which explains the collection and use of protected information to individuals applying for VHA benefits. The NOPP (Appendix A) is provided when the Veteran enrolls or when updates are made to the NOPP and copies are mailed to all VHA beneficiaries (every 3 years). Employees and contractors are required to review, sign, and abide by the National Rules of Behavior on an annual basis. They outline the requirements and expectations for appropriate use of Veteran PHI/PII maintained in VA systems. In addition to NOPP, distributions are the SORN publication in the Federal Register in October 2020 as mentioned in 1.5 above.

## **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.*

Yes, as outlined in the NOPP for the EHR Core system. Individuals do have an opportunity to decline to provide information at any time. However, to apply for enrollment in the VA health care system, all Veterans are required to fill out VA Form 10-10EZ. The information provided on this form will be used by VA to determine eligibility for medical benefits. The applicant is not required to disclose their financial information. However, VA is not currently enrolling new applicants who decline to provide their financial information unless they have other qualifying eligibility factors. If a financial assessment is not used to determine the applicant's eligibility for cost-free medication, travel assistance or waiver of the travel deductible, and the applicant chooses not to disclose personal financial information, the applicant will not be eligible for these benefits. More details and instruction for VA Form 10-10EZ can be found at this web link: <https://www.va.gov/find-forms/about-form-10-10ez/>.

## **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.*

Yes, as outlined in the NOPP for the EHR Core system. Specifically, Right to Request Restriction: Veterans/patients do have the right to request that VHA not use or disclose all or part of their health information to carry out treatment, payment or health care operations, or that VHA not use or

disclose all or part of their health information with individuals such as their relatives or friends involved in their care, including use or disclosure for a particular purpose or to a particular person. Reference the NOPP on how to submit a request for restriction. VHA, however, as a “Covered Entity” under the law, is not required to agree to such restriction, except in the case of a disclosure restricted under 45 CFR § 164.522(a)(1) (vi). This provision applies only if the disclosure of the Veteran’s or patient’s health information is to a health plan for the purpose of payment or health care operations and the Veteran’s health information pertains solely to a health care service or visit which is paid out of pocket in full by the Veteran/patient. However, VHA is not legally able to accept an out-of-pocket payment from a Veteran for the full cost of a health care service or visit. The Administration can only accept payment from a Veteran for co-payments. Therefore, this provision does not apply to VHA and VHA is not required or able to agree to a restriction on the disclosure of a Veteran’s/patient’s health information to a health plan for the purpose of receiving payment for health care services provided by VHA. Additionally, VHA is not able to restrict access to the patient health information by DoD providers with whom the patient has a treatment relationship. Lastly, individuals have the right to consent to the use of their information. Individuals are directed to use the 10-5345 Release of Information (ROI) form describing what information is to be sent out and to whom it is being sent to. Patients have the right to opt-out of VA facility directories. Individuals can request further limitations on other disclosures. A veteran, guardian or court appointed Power of Attorney can submit a request to the facility Privacy Officer to obtain information.

#### **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. (Work with your System ISSO to complete all Privacy Risk questions inside the document this section).*

*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:** An individual may not receive notice that their information is being collected, maintained, processed, or disseminated by the VA prior to providing the information.

**Mitigation:** This risk is mitigated by the common practice of providing the NOPP when Veterans apply for benefits and every three years thereafter to include any changes made to the notice. Additionally, NOPPs are provided to non-Veteran beneficiaries at each episode of care and periodic monitoring is performed to check that the signed NOPP acknowledgment form has been scanned into the beneficiaries’ electronic health record. Discussion about the System of Record Notice (SORN) and NOPP is provided in answer to question 6.1. The web link to the SORN is <https://www.govinfo.gov/content/pkg/FR-2020-10-02/pdf/2020-21426.pdf>. The web link to the NOPP is [https://www.va.gov/files/2022-10/10-163p\\_%28004%29\\_-Notices\\_of\\_Privacy\\_Practices-PRINT\\_ONLY.pdf](https://www.va.gov/files/2022-10/10-163p_%28004%29_-Notices_of_Privacy_Practices-PRINT_ONLY.pdf).

## 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?

*These questions are related to privacy control IP-2, Individual Access, and AR-8, Accounting of Disclosures.*

*7.1a 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.***

This is not applicable as no patient data is retained by the system. Individual's right to gain access to their information would be provided under the EHR Core system where the data is collected and stored.

*7.1b 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)?*

This system is not exempt from the access provisions of the Privacy Act.

*7.1c 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 is not applicable as this is a Privacy Act system.

### 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.*

This is not applicable as no data is retained by the system. Right to Request Amendment of Health Information provision would fall under the EHR Core system.

### 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.*

This is not applicable as no data is retained by this system. The procedures for notifying individuals of how they can correct their information are specified under this section of the PIA for the EHR Core system which can be found at this web link: <https://department.va.gov/privacy/wp-content/uploads/sites/5/2023/10/FY23EHRMDHMSMElectronicHealthRecordEHRCorePIA.pdf>. To re-state here, the NOPP, outlining the procedure for Veterans/patients request amendment (correction) of their health information, is provided to the Veteran/patient at the time their information being collected during enrollment and every three years thereafter. If they enroll in the patient portal, a digital version of the NOPP is also available for their awareness. Veterans/patients are expected to review and understand the said procedures as well as the NOPP in its completeness so that they can properly exercise their rights. Particularly, the procedures also address the situation when a request for amendment is denied - Veterans/patients will be notified of such decision in writing and given information about their right to appeal the decision. In response, the Veterans/patients may do any of the following: file an appeal, file a “Statement of Disagreement” which will be included in their health record, or ask that their initial request for amendment accompany all future disclosures of the disputed health information. Reference the VHA NOPP which can be found in the Resources section of the VHA webpage or at the following link: [https://www.va.gov/files/2022-10/10-163p\\_%28004%29\\_-Notices\\_of\\_Privacy\\_Practices-PRINT\\_ONLY.pdf](https://www.va.gov/files/2022-10/10-163p_%28004%29_-Notices_of_Privacy_Practices-PRINT_ONLY.pdf). Publications of the SORNs referenced in 1.5 are also a means of notification. Lastly, individuals are provided written notice of the amendment process in the written amendment acknowledgement and response letters.

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

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

The processes outlined in 7.2 and 7.3 are considered formal redress procedures for the data in the EHR Core system from which the information from this system is collected and used. To ensure data accuracy and maintain quality of care, patients are encouraged to actively review and verify information included in their health records.

#### **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.** (Work with your System ISSO to complete all Privacy Risk questions inside the document this section).*

*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.*

**Privacy Risk:** This risk is not applicable as this system collects and uses information from the EHR Core system but does not retain any of this information. Any risks associated with incorrect information would be associated with the live data in the EHR Core system.

**Mitigation:** This risk is not applicable; mitigation efforts would default to the EHR Core system which is where the live data is stored.

## 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?**

*These questions are related to privacy control AR-7, Privacy-Enhanced System Design and Development.*

#### *8.1a Describe the process by which an individual receives access to the system?*

The procedures defined in the EHRM Access Office Access Management Guide and the EHRM User Role Assignment Standard Operating Procedure (URA SOP) are used to determine and process user access to this EHRM FDSS system, for system administrative and maintenance purposes.

#### *8.1b 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?*

Only authorized VA personnel and contractor staff can access the system for healthcare operation and system maintenance purposes.

#### *8.1c 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.*

Authorized end-users of Millennium (the EHRM DHMSM EHR Core system) can access this transactional system for healthcare operation purposes. Authorized contractor staff and VA OIT personnel can access the system for administrative IT operational purposes.

### **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.*

Yes, authorized contractor staff of VA EHRM-IO can access the system for administrative and maintenance purposes. All contractor personnel must comply with VA cybersecurity and data safeguarding requirements including the Contractor Confidentiality Agreement, the Non-Disclosure Agreement, and the Subcontractor Business Associate Agreement revision signed in July 2023 between Oracle Health Government Services (OHGS) and the VA EHRM-IO.

### **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 eligible and authorized users of the system must read and acknowledge the VA general Rules of Behavior (ROB) pertaining to everyday behavior expected of Organizational Users prior to gaining access to any VA/Federal information system or sensitive information. The rules are included as part of the annual VA Privacy and Information Security Awareness and Rules of Behavior (WBT) course, ID# 10176, which all VA network authorized users must complete via the VA's Talent Management System (TMS). After the user's initial acceptance of the Rules, the user must re-affirm their acceptance annually as part of the renew/refreshing privacy and security awareness training. Acceptance is obtained via electronic acknowledgment and is tracked through the TMS system. The 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. System administrators are required to complete additional role-based training, course ID# 10203, HIPAA and Privacy training, annually.

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

*8.4a If Yes, provide:*

- 1. The Security Plan Status: Approved*
- 2. The System Security Plan Status Date: June 25, 2024*
- 3. The Authorization Status: Not Yet Authorized*
- 4. The Authorization Date: TBD*
- 5. The Authorization Termination Date: TBD*
- 6. The Risk Review Completion Date: TBD*
- 7. The FIPS 199 classification of the system (LOW/MODERATE/HIGH): MODERATE*

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

8.4b If No or In Process, provide your **Initial Operating Capability (IOC) date**.  
The estimated IOC is January 2, 2025.

## 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), Desktop as a Service (DaaS), Mobile Backend as a Service (MBaaS), Information Technology Management as a Service (ITMaaS). 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. (Refer to question 3.3.1 of the PTA)**

No, the system does not use cloud technology.

### 9.2 Does the contract with the Cloud Service Provider, 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). (Refer to question 3.3.2 of the PTA) This question is related to privacy control AR-3, Privacy Requirements for Contractors, and Service Providers.

### 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.*

### 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.*

**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).*

## Section 10. References

### Summary of Privacy Controls by Family

*Summary of Privacy Controls by Family*

<b>ID</b>	<b>Privacy Controls</b>
<b>AP</b>	<b>Authority and Purpose</b>
AP-1	Authority to Collect
AP-2	Purpose Specification
<b>AR</b>	<b>Accountability, Audit, and Risk Management</b>
AR-1	Governance and Privacy Program
AR-2	Privacy Impact and Risk Assessment
AR-3	Privacy Requirements for Contractors and Service Providers
AR-4	Privacy Monitoring and Auditing
AR-5	Privacy Awareness and Training
AR-6	Privacy Reporting
AR-7	Privacy-Enhanced System Design and Development
AR-8	Accounting of Disclosures
<b>DI</b>	<b>Data Quality and Integrity</b>
DI-1	Data Quality
DI-2	Data Integrity and Data Integrity Board
<b>DM</b>	<b>Data Minimization and Retention</b>
DM-1	Minimization of Personally Identifiable Information
DM-2	Data Retention and Disposal
DM-3	Minimization of PII Used in Testing, Training, and Research
<b>IP</b>	<b>Individual Participation and Redress</b>
IP-1	Consent
IP-2	Individual Access
IP-3	Redress
IP-4	Complaint Management
<b>SE</b>	<b>Security</b>
SE-1	Inventory of Personally Identifiable Information
SE-2	Privacy Incident Response
<b>TR</b>	<b>Transparency</b>
TR-1	Privacy Notice
TR-2	System of Records Notices and Privacy Act Statements
TR-3	Dissemination of Privacy Program Information
<b>UL</b>	<b>Use Limitation</b>
UL-1	Internal Use
UL-2	Information Sharing with Third Parties

**Signature of Responsible Officials**

**The individuals below attest that the information they provided in this Privacy Impact Assessment is true and accurate.**

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**Privacy Officer, Angela Pluff**

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**Information System Security Officer, Jeramy Drake**

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**Information System Owner, Michael Hartzell**

## 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; screen shot of a website collection privacy notice).

VA Notice of Privacy Practice link:

[https://www.va.gov/vhapublications/ViewPublication.asp?pub\\_ID=9946](https://www.va.gov/vhapublications/ViewPublication.asp?pub_ID=9946)

PIA web address: <https://department.va.gov/privacy/privacy-impact-assessments/>

SORN 24VA10A7, *Patient Medical Records-VA*

<https://www.govinfo.gov/content/pkg/FR-2020-10-02/pdf/2020-21426.pdf>

## **HELPFUL LINKS:**

### **Record Control Schedule**

<https://www.va.gov/vhapublications/rcs10/rcs10-1.pdf>

### **National Archives (Federal Records Management):**

<https://www.archives.gov/records-mgmt/grs>

### **VA Publications:**

<https://www.va.gov/vapubs/>

### **VA Privacy Service Portal:**

<https://department.va.gov/privacy/>

### **Notice of VA/VHA Privacy Practice**

[https://www.va.gov/files/2022-10/10-163p\\_%28004%29\\_-Notices of Privacy Practices-  
\\_PRINT ONLY.pdf](https://www.va.gov/files/2022-10/10-163p_%28004%29_-Notices_of_Privacy_Practices-PRINT_ONLY.pdf)