



Privacy Impact Assessment for the VA IT System called:

Other Government Agencies (OGA)
Veterans Affairs Central Office (VACO)
Financial Healthcare Services (FHS)

eMASS #2673

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System Contacts:

System Contacts

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Abstract

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

The Other Government Agencies (OGA) provides claim adjudication, prepares for the payment of claims, and provides a claim status to medical providers.

Overview

The overview is the most important section of the Privacy Impact Assessment (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 business purpose of the program, IT system, or technology and how it relates to the program office and agency mission?*

OGA is a medical claim system used by both VA staff, (ICE) Healthcare Services Corps (IHSC) staff, and medical providers to process and manage medical claims.

- B. Who is the owner or has control of the IT system or project? If the system has an eMASS entry, ensure this information matches with the eMASS entry.*

VA owned and VA operated.

2. Information Collection and Sharing

C. *Indicate the expected number of individuals whose information is stored in the system and include a brief description of the typical client or affected individual?*

8.2 million members are stored in support of processing claims.

Check if Applicable	Demographic of individuals
<input type="checkbox"/>	Veterans or Dependents
<input type="checkbox"/>	VA Employees
<input type="checkbox"/>	Clinical Trainees
<input checked="" type="checkbox"/>	VA Contractors
<input checked="" type="checkbox"/>	Members of the Public/Individuals
<input type="checkbox"/>	Volunteers

D. *What is a general description of the information in the IT system and the purpose for collecting this information?*

The Other Government Agencies (OGA) provides claim adjudication, prepares for the payment of claims, and provides a claim status to medical providers.

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

The Other Government Agencies (OGA) provides claim adjudication, prepares for the payment of claims, and provides a claim status to medical providers. The hardware resides at Austin Office of Information and Technology . The program office is in the Financial Healthcare Service, Medical Claims Division. For internal connections within the FSC Network, data flows among workstations, servers, database servers, and peripheral devices and VA users within the VA Intranet. The OGA Provider Portal, a read only public facing medical provider portal, is established within the FSC Demilitarized Zone (DMZ).

Immigration Customs Enforcement (ICE) detainees reporting system maintains the Alien ID and custody information that's needed to process and display healthcare claims status from OGA PP (ICE) Healthcare Services Corps (IHSC) Contracted Healthcare Providers.

F. Are the modules/subsystems only applicable if information is shared?

YES

G. *Is the system operated in more than one site to include primary and secondary 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?*

No

3. *Legal Authority and System of Record Notices (SORN)*

H. *What is the citation of the legal authority?*

The citation of legal authority: Title 38, United States Code, Section 1703 provides for hospital care and medical services in non-VA Department facilities; Section 1724 provides hospital care, medical services, and nursing home care abroad; Section 1725 provides for reimbursement for emergency treatment; Section 1802 provides for spina bifida medical cover.

I. *What is the SORN?*

Non-VA Care (Fee) Records-VA 23VA10NB3 / 80 FR 45590
Other Government Agencies-VA 213VA0475A1/ 88 FR 38139

J. *If the system is in the process of being modified and a SORN exists, will the SORN require amendment or revision and approval.*

No

4. *System Changes*

K. *Will the business processes change due to the information collection and sharing?*

☐ Yes

☒ No

if yes, <<ADD ANSWER HERE>>

I. *Will the technology changes impact information collection and sharing?*

☐ Yes

☒ No

if yes, <<ADD ANSWER HERE>>

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 Information 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/>). 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 type="checkbox"/> Financial Information | Number (ICN) |
| <input checked="" type="checkbox"/> Full Social Security Number | <input type="checkbox"/> Health Insurance Beneficiary Numbers | <input type="checkbox"/> Military History/Service Connection |
| <input type="checkbox"/> Partial Social Security Number | <input type="checkbox"/> Account Numbers | <input type="checkbox"/> Next of Kin |
| <input checked="" type="checkbox"/> Date of Birth | <input type="checkbox"/> Certificate/License Numbers ¹ | <input type="checkbox"/> Date of Death |
| <input type="checkbox"/> Mother's Maiden Name | <input type="checkbox"/> Vehicle License Plate Number | <input type="checkbox"/> Business Email Address |
| <input type="checkbox"/> Personal Mailing Address | <input type="checkbox"/> Internet Protocol (IP) Address Numbers | <input type="checkbox"/> Electronic Data Interchange Personal Identifier (EDIPI) |
| <input type="checkbox"/> Personal Phone Number(s) | <input type="checkbox"/> Medications | <input type="checkbox"/> Other Data Elements (List Below) |
| <input type="checkbox"/> Personal Fax Number | <input type="checkbox"/> Medical Records | |
| <input type="checkbox"/> Personal Email Address | <input type="checkbox"/> Race/Ethnicity | |
| <input type="checkbox"/> Emergency Contact Information (Name, Phone Number, etc. of a Different Individual) | <input checked="" type="checkbox"/> Tax Identification Number | |
| | <input type="checkbox"/> Medical Record Number | |
| | <input type="checkbox"/> Sex | |
| | <input type="checkbox"/> Integrated Control | |

Other PII/PHI data elements:
Subject ID

¹ *Specify type of Certificate or License Number (e.g., Occupational, Education, Medical)

Referral Number
Patient Control Number
Claim Number
Provider Name
Alien Number
Dates of Service
Diagnosis-Procedure Codes related to medical conditions
Subject ID
Border Patrol Identifier

1.2 List 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?

Information provided by VA files/databases, Immigrations and Customs Enforcement Health Services Corps, and Health and Human Services which is provided by the medical providers which is the required information to process medical claims. Explanations of benefits (EOB) are provided to the medical providers for each claim received at the FSC.

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.

Medical Staff must provide information concerning the Alien patient for the claim to be processed. IHSC and the Border Patrol provide basic information about the Alien.

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

Ultimately, the system determines the amount of payment that should be made to the medical providers and provides this to Treasury for payment. The information created is the dollar amount of the payment.

1.3 Methods of information collection

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?

The information is provided by the medical providers through the provider portal to make a claim.

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?

1.4 Information checks for accuracy, and 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.

The ICE detainees reporting system that maintains the Alien ID and custody information that's needed to process claims are matched for accuracy. The ICE detainee reporting system is a source system that is maintained and is the responsibility of ICE.

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?

Providers are required to submit W-9 which is validated against IRS.gov to verify providers identification and permission to use Tax ID. Providers must submit a W-9 yearly to ensure accuracy.

1.5 Identify the specific legal authorities, arrangements, and agreements that 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

VA has a Service Line Agreement with the IHSC that identifies requirements and expectations of both parties. The OGA Provider Portal is administered by the MOU in place with Homeland Security. Legal Authority the Privacy Act of 1974, and the DHS/ICE 013 Alien Health Records System of Records Notice (SORN).

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: The collection ties with the purpose of the underlying mission of the organization and its enabling authority.

Principle of Minimization: The information is directly relevant and necessary to accomplish the specific purposes of the program.

Principle of Individual Participation: The program, to the extent possible and practical, collects information directly from the individual.

Principle of Data Quality and Integrity: VA policies and procedures must ensure that personally identifiable information is accurate, complete, and current.

This 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: Sensitive Personal Information including personal contact information, medical information, service information and benefit information may be released to unauthorized individuals.

Mitigation: OGA adheres to information security requirements instituted by the VA Office of Information Technology (OIT). Both contractor and VA employees are required to take Privacy, HIPAA, and information security training annually. We rely on OGA PP Providers to ensure that personally identifiable information is accurate, complete, and current. The systems undergo complete Web Application Security Assessment (WASA) scans and are not allowed to operate with critical findings.

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
Full Name	Identify the person	Identify the person
Claim Number	Identify the correct claim	Identify the correct claim
Patient Control Number	Identify the correct person receiving medical care	Identify the correct person receiving medical care
Dates of Service	Ensure reconciliation of payments	Ensure reconciliation of payments

Provider Tax ID Number/SSN/EIN	Allows provider to see only their claims	Allows provider to see only their claims
Diagnosis and Procedure Codes related to medical conditions	Reconciliation of payments	Reconciliation of payments
Alien Number (Unique Identifier)	Identify the detainees	Identify the detainees
Provider Name	Identify the correct medical provider	Identify the correct medical provider
Border Patrol ID	Identify the patient	Identify the patient
Referral Number	Identify the correct claim	Identify the correct claim
Date of Birth	Identify the patient age and confirm patient identity	Identify the patient age and confirm patient identity
Subject ID	Identify the patient	Identify the patient
Provider Name	Identify Provider	Identify Provider

2.2 Describe the types of tools 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?

OGA auto adjudicates some level of claim using edit and role procedures. While doing this the system may authorize payment based on eligibility and payment tables. Ultimately the system provides the amount and provider that the Treasury department will pay.

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.

OGA does not create any new data or previously unutilized data about individuals.

2.3 How the information in the system is 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?

VA FSC utilizes monitoring tools including Dynatrace, QRadar and Imperva to monitor the health and activity of the systems under OGA. These tools are evaluated and configured to meet security demands and requirements. Data in transit and at rest is encrypted.

2.3b If the system is collecting, processing, or retaining Social Security Numbers, are there additional protections in place to protect SSNs? (refer to PTA question 3.8).

The OGA systems run on HTTPS and are covered by Transport Layer Security (TLS) 1.2 to protect data in transit and Transparent Data Encryption (TDE) to cover encryption at rest.

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

Information is masked and encrypted where appropriate to avoid compromise of PII/PHI to the extent possible.

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 the Provider Portal and the base application is regulated through multifactor authentication.

2.4b Are criteria, procedures, controls, and responsibilities regarding access documented? How are the documented, i.e. Policy, SOP, other. And where is this documentation located?

In order to gain access to the OGA Provider Portal, the provider must register with ID.me and provide their specific claim information to the FSC staff so they can validate the provider's need to access their claim status. Only then can Providers view their claim status and receive the equivalent of an Explanation of Payment

2.4c Does access require manager approval?

Yes

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

QRadar is used to monitor the actions of all users to log and be call at any time.

2.4e Who is responsible for assuring safeguards for the PII as identified in eMASS?

The ISO and ISSO are responsible.

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*

- Full Name
- Claim Number
- Patient Control Number
- Dates of Service
- Provider Tax ID Number/SSN/EIN
- Diagnosis and Procedure Codes related to medical conditions
- Alien Number (Unique Identifier)
- Provider Name
- Border Patrol ID
- Referral Number
- Date of Birth
- Subject ID Border Patrol Identifier
- Provider Name

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 <https://www.archives.gov/records-mgmt/grs>? This question is related to privacy control DM-2, Data Retention and Disposal.

Data is retained for six years as required by the General Record Schedule 1.1: 010 Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

3.3 The retention schedule 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. Please work with the system 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?

Data is retained for six years as required by the General Record Schedule 1.1: 010 Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

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

GSR 1.1: 010 Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

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.

6 years as required by GRS 1.1 010. Records Officer and Records Liaison Officer comply with VA Handbook 6300.1 Chap 6, Section 3. We are also finalizing procedures to automate the destruction of media at the appropriate time based on published NARA and VA instructions. Paper records are shredded by a local shredding company weekly.

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.

We do not use PII data for testing or training purposes. The only data that is being used is mock data. Since the data is made up, we do not risk PII data. By exception for User Acceptance Tests (UAT's), production data may be used to test in a pre-production environment. After the test the production data is removed.

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 Privacy Officer (PO) to complete all Privacy Risk questions inside the document in 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: *The project retains only the information necessary for its purpose, additionally, the PII is retained only for as long as necessary and relevant to fulfill the specified purposes.*

Principle of Data Quality and Integrity: *The PIA should describe 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: If information is retained longer than specified, privacy information may be released to unauthorized individuals.

Mitigation:

- OGAS adheres to information security requirements instituted by the VA Office of Information Technology (OIT).
- Both contractor and VA employees are required to take Privacy, HIPAA, and information security training annually.
- FSC is also finalizing procedures to automate the destruction of media at the appropriate time based on published NARA General Records Schedule 10-1, section, 4.2, Information Access and Protection of Records, dated April 2020 and VA Handbook 6300.01, Records Management Procedures, paragraph 7, dated August 17, 2017.

Section 4. Internal Sharing/Receiving/Transmitting and Disclosure

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

PII Mapping of Components

4.1a **OGA** consists of **5** key components (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 **OGA** 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 3.9a in the PTA should be used to answer this question.

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
OGA Provider Portal	Yes	No	VA Contractors: <ul style="list-style-type: none">• Provider Name• Provider Tax ID Number/SSN/EIN• Date of Birth• Members of the Public/Individuals:<ul style="list-style-type: none">• Full Name• Claim Number• Patient Control Number• Alien Number• Dates of Service• Diagnosis-Procedure Codes related to medical conditions	Required to process claims so that the medical providers will receive the correct amount to be determined by both procedure and alien.	Encrypted at rest and in transit (HTTPS-TLS)

			<ul style="list-style-type: none"> • Referral Number 		
• CDBOGPRD	Yes	Yes	<ul style="list-style-type: none"> • Full Name • Alien Number (Unique Identifier) • Provider Name • Provider Tax ID Number/SSN/EIN • Date of Birth • Referral Number 	Required to process claims so that the medical providers will receive the correct amount to be determined by both procedure and alien.	Encrypted at rest and in transit
OgaMemberService	Yes	Yes	<ul style="list-style-type: none"> • Full Name • Claim Number • Patient Control Number • Alien Number • Dates of Service • Diagnosis-Procedure Codes related to medical conditions • Date of Birth • Referral Number • Border Patrol Identifier • Subject ID 	Required to process claims so that the medical providers will receive the correct amount to be determined by both procedure and alien.	Encrypted at rest and in transit
FSCDataDepot	Yes	Yes	<ul style="list-style-type: none"> • Full Name • Claim Number • Patient Control Number • Dates of Service • Provider Tax ID Number/SSN/EIN 	Required to process claims so that the medical providers will receive the correct amount to be determined by both	Encrypted at rest and in transit

			• Diagnosis- Procedure Codes related to medical condition	procedure and alien.	
eCAMS VA Staging Db	Yes	Yes	<ul style="list-style-type: none"> • Full Name • Claim Number • Patient Control Number • Dates of Service • Provider Tax ID Number/SSN/EIN •Diagnosis/Procedure Codes related to medical condition 	Required to process claims so that the medical providers will receive the correct amount to be determined by both procedure and alien.	Encrypted at rest and in transit

4.1b List internal organizations information is shared/received/transmitted, the information shared/received/transmitted, and the purpose, and how the information is transmitted.

NOTE: Question 3.9b (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

<i>IT system and/or Program office. 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 PII/PHI data elements shared/received/transmitted.</i>	<i>Describe the method of transmittal</i>
Integrated Financial Acquisition Management System	Needed to pay the vendor	Vendor name Provider Tax ID Number	SSH FTP
Identity and Access Management	Authenticates user	SSOi – • Full Name SSOe – • Full Name • SSN • Address • National Provider Identifier (NPI)	Web Agent SSOe-Standard/Junction (Reverse Proxy)
COTS Package (VL Trader)	Moves data to entities external to FSC	• Full Name • Claim Number • Patient Control Number • Dates of Service • Provider Tax ID Number/SSN/EI	SSH FTP
FTS (FileNet)	Assists in processing medical claims	• Full Name • Claim Number • Patient Control Number • Dates of Service • Provider Tax ID Number/SSN/EIN • Diagnosis/Procedure Codes related to medical conditions	HTTPS
FSC.NET Web Services	Assists in processing medical claims	• Alien Number • Name • Date of Birth • Sex Border Patrol Identifier Subject ID	HTTPS SOAP or Rest

4.2 PRIVACY IMPACT ASSESSMENT: Internal sharing and disclosure

Discuss the privacy risks associated with the sharing of information within the VA network 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 in this section.).

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

Follow the format below:

Privacy Risk: If a bad internal actor accesses OGA Provider Portal information, then they could use the limited PII/PHI to support identity theft activities.

Mitigation: Use of masking, challenge questions specific to claim information, ID.me registration, and knowledge of specific claim information combined with manual approval process are used to mitigate risk of a bad actor accessing PII/PHI.

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 List the external organizations (outside VA) that information shared/received. and information shared/received, and the purpose, and how the information transmitted and what measures are taken to ensure it is secure.

The sharing of information outside the agency must be compatible with the original collection. The sharing must be covered by an appropriate routine use in a SORN. If not covered, 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 IT System or External Program Office information is shared/received with</i>	<i>List the purpose of information being shared / received / transmitted</i>	<i>List the specific PII/PHI data elements that are processed (shared/received/transmitted)</i>	<i>List agreements such as: Contracts, MOU/ISA, BAA, SORN. etc.</i>	<i>List the method of transmission and the measures in place to secure data</i>

			<i>that permit external sharing (can be more than one)</i>	
ICE Healthcare Services Corps (IHSC) Contracted Healthcare Providers	IHSC is our customer who oversees the aliens receiving medical care.	Explanation of Benefits (EOB) Data Elements <ul style="list-style-type: none"> • Full Name • Address • Provider Tax ID Number /SSN/EIN • Dates of Service • Billed and Net Payable amounts Diagnosis/Procedure Codes related to medical conditions Procedures • Border Patrol Identifier 	Service Level Agreement (SLA)	HTTPS via portal – Read Only Access
Border Patrol as part of the Department of Homeland Security		<ul style="list-style-type: none"> • Full Name • Claim Number • Patient Control Number • Dates of Service • Provider Tax ID Number/SSN/EIN •Diagnosis/Procedure Codes related to medical conditions • Border Patrol Identifier Subject ID 	Service Level Agreement (SLA)	HTTPS via portal – Read Only Access

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: If a bad external actor accesses OGA information, then they could use the limited PII/PHI to support identity theft activities.

Mitigation: Use of masking, challenge questions, ID.me registration, and knowledge of specific claim information combined with manual approval process are used to mitigate risk of a bad actor accessing PII/PHI.

OGA Provider Portal users are external non-network providers, however, they may only access information that they are authorized to view.

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 The notice provided to the individual before collection of the information. Please provide a copy and/or screen shot of a web notice of the notice as an Appendix-A 6.1 on the last page of the document. (A notice may include a posted privacy policy, a Privacy Act notice on forms, notice given to individuals by the sources system, or a system of records notice published in the Federal Register.) If notice was not provided, explain why.

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 Provide the Privacy Notice provided to the public by this system or any source systems. Include a copy of the notice in Appendix A of the PIA, the Federal Register citation, or Privacy Statement from collection of information such as forms or surveys.

SORN:213VA0475A1/ 88FR 38139

<https://www.govinfo.gov/content/pkg/FR-2023-06-12/pdf/2023-12395.pdf>

6.1b If notice was not provided, explain why.

The above notices are provided.

6.1c Provide how the notice provided at the time of collection meets the purpose of use for this system.

SORN 23VA10NB3 Non-VA Care (Fee) Records-VA
213VA0475A1 Other Government Agencies -VA.

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.

The Alien may decline to provide information. The IHSC or Border Patrol will determine if medical care will be available.

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.

Information disclosure is mandatory; benefits will not be paid unless subject's information is obtained and used to process the medical claims. Detainees are not directly asked to consent to this use of their information. However, they may choose to remove consent. Removal of consent may result in denial of claims or benefits.

If an individual wishes to remove consent for a particular use of their information, they should contact the nearest VA Regional Office, a list of where can be found at:
<https://www.benefits.va.gov/benefits/offices.asp>

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 Privacy Officer (PO) 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: *This is referring to sufficient notice provided to the individual.*

Principle of Use Limitation: *The information used only for the purpose for which notice was provided either directly to the individual or through a public notice. The procedures in place must 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: If notice is not provided sufficiently, detainees and members of the public may not know VA maintains, collects, and stores data.

Mitigation: A System of Records Notice (SORN) is posted in the Federal Register and this Privacy Impact Assessment (PIA) is posted for public access by VA PSO.

Non-VA Care (Fee) Records-VA [23VA10NB3 / 80 FR 45590](#).
Other Government Agencies -VA [213VA0475A1/ 88 FR 38139](#)

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 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 [VA Public Access Link-Home \(efoia-host.com\)](http://va.gov/foia) to obtain information about FOIA points of contact and information about agency FOIA processes.***

Detainees are not provided any access to their information. Information can be corrected by using the eCAMS Helpdesk Line at 855-299-0231.

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)?

The system is not exempt.

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?

The system 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.

Detainees are not provided any access to their information. Information can be corrected by using the eCAMS Helpdesk Line at 855-299-0231

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.

There is no procedure that allows detainees to correct their information, however, their providers may contact the eCAMS Helpdesk Line at 855-299-0231.

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.

Detainees do not gain access to their records. Providers have access to the eCAMS Helpdesk Line at 855-299-0231.

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 Privacy Officer (PO) to complete all Privacy Risk questions in this section).*

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

Principle of Individual Participation: The individual must be provided with the ability to find out whether a project maintains a record relating to them.

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

Principle of Individual Participation: The mechanism by which an individual is able to prevent information about them obtained for one purpose from being used for other purposes without their knowledge.

This question is related to privacy control IP-3, Redress.

Follow the format below:

Privacy Risk: If detainees' information cannot be corrected, then inaccurate data may be used to process claims.

Mitigation: FSC verifies claim information data against medical authorizations. FSC relies on the data collected by IHSC and the Border Patrol. More information is available in the Privacy Impact Assessments (PIA) for Veterans Health Information Systems and Technology Architecture (Vista) and Computerized Patient Record System (CPRS) for mitigation of this risk at Privacy Service or by contacting the eCAMs Helpdesk Line at 855-299-0231. This information is also found on the banner page, included in Appendix A.6.1 in this document.

Section 8. Technical Access and Security

The following questions are intended to describe technical safeguards and security measures. (Work with your ISSO to complete this section).

8.1 The procedures in place to determine which users may access the system, must be 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?

Individuals must take and pass training on Privacy, HIPAA, information security, and government ethics.

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?

Individuals must have a completed security investigation.

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.

Once training and the security investigation are complete, a request is submitted for access. Before any access is granted, this request must be approved by the supervisor, Information Security Officer (ISO), and OIT.

8.2. Contractor signed Non-Disclosure Agreement (NDA), Business Associate Agreement (BAA) etc. in place.

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.

8.2a Has a contractor confidentiality agreement, Business Associate Agreement (BAA), or a Non-Disclosure Agreement (NDA) been developed for contractors who work on the system?

Once training and the security investigation are complete, a request for access is submitted before any access is granted. This request must be approved by the government supervisor, Information Security Officer (ISO), and Office of Information & Technology (OIT).

Contractors who have access to SPI data must sign a Non-Disclosure Agreement (NDA) before gaining access.

8.2a. Will VA contractors have access to the system and the PII?

Contractors will have access to the system and their contracts are reviewed on an annual basis.

8.2b. What involvement will contractors have with the design and maintenance of the system?

Contractors must take and pass training on Privacy, HIPAA, information security, and government ethics.

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.

Talent Management System courses:

VA 10176: Privacy and Info Security Awareness and Rules of Behavior.

VA 10203: Privacy and HIPAA Training

8.4 The Authorization and Accreditation (A&A) completed for the system.

8.4a If completed, provide:

1. The Security Plan Status: Approved (HCPS)
2. The System Security Plan Status Date: - 26-Nov-2024 (HCPS)
3. The Authorization Status: Authorization to Operate (ATO) (HCPS)
4. The Authorization Date: 05-Aug-2024 (HCPS)
5. The Authorization Termination Date: 05-Aug-2025 (HCPS)
6. The Risk Review Completion Date: 15-Sep-2023 (HCPS)
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 not completed or In Process, provide your **Initial Operating Capability (IOC) date**.

Completed

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. (Refer to question 1.8 of the PTA)

OGA is not using cloud technology.

9.2 Does the contract with the Hosting 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 3.3.1 of the PTA) This question is related to privacy control AR-3, Privacy Requirements for Contractors, and Service Providers.

No

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

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

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).

OGA does not currently use RPA.

Section 10. References

Summary of Privacy Controls by Family

Summary of Privacy Controls by Family

ID	Privacy Controls
AP	Authority and Purpose
AP-1	Authority to Collect
AP-2	Purpose Specification
AR	Accountability, Audit, and Risk Management
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-7	Privacy-Enhanced System Design and Development
AR-8	Accounting of Disclosures
DI	Data Quality and Integrity
DI-1	Data Quality
DI-2	Data Integrity and Data Integrity Board
DM	Data Minimization and Retention
DM-1	Minimization of Personally Identifiable Information
DM-2	Data Retention and Disposal
DM-3	Minimization of PII Used in Testing, Training, and Research
IP	Individual Participation and Redress
IP-1	Consent
IP-2	Individual Access
IP-3	Redress
IP-4	Complaint Management
SE	Security
SE-1	Inventory of Personally Identifiable Information
SE-2	Privacy Incident Response
TR	Transparency
TR-1	Privacy Notice
TR-2	System of Records Notices and Privacy Act Statements
TR-3	Dissemination of Privacy Program Information
UL	Use Limitation
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.

Privacy Officer, Morla Roberts

Information System Security Officer, Ronald Murray

Information System Owner, Lee M. Brown

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).

Non-VA Care (Fee) Records-VA” [23VA10NB3 / 80 FR 45590](#).
Other Government Agencies -VA [213VA0475A1/ 88 FR 38139](#)

HELPFUL LINKS:

Records Control Schedule 10-1 (va.gov)

General Records Schedule

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

National Archives (Federal Records Management):

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

VA Publications:

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

VA Privacy Service Privacy Hub:

<https://dvagov.sharepoint.com/sites/OITPrivacyHub>

Notice of Privacy Practice (NOPP):

VHA Directive 1605.04

[IB 10-163p \(va.gov\)](#)