



Privacy Impact Assessment for the VA IT System called:

Medi Rec-AviTracks Clinical Informatics

Date PIA submitted for review:

9/27/2021

System Contacts:

System Contacts

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Abstract

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

This enclave consists of the Medication Reconciliation Tool and AviTracks. The Primary function is to help providers perform medication reconciliation in the inpatient and outpatient setting. The system brings information from all facilities into a single screen for providers to review and reconciled. It also generates patient friendly outputs. The MedRec tool also helps providers write their notes in both settings (inpatient and Outpatient) and integrated the medication reconciliation into their note writing process. AviTracks is a minor application under MedRec tool and it helps monitor patients with chronic condition in need of regular labs/procedures. Based on the diagnosis and the medications taken by the patient across the VA. It also manages the steps to follow if the patient is non-compliant.

Overview

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

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

Medi-Rec Avi-Tracks owned by Clinical Informatics Ann Arbor VA created locally by Dr. Gabe Solomon and AVICENNA Medical Systems and managed by Nichole Setla. The Primary function is to help providers perform medication reconciliation in the inpatient and outpatient setting. Servers are owned by the VA. All patients of VISN 10 are available to access via this tool in addition to Oklahoma, Memphis Tennessee, and West Palm Beach. The system brings information from all facilities into a

Version Date: May 1, 2021

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single screen for providers to review and reconciled. The MedRec tool also helps providers write their notes in both settings (inpatient and Outpatient) and integrated the medication reconciliation into their note writing process. Medi-Rec Avi-Tracks shares information with VISTA and VHA. There is no external sharing of PII outside of the VA. Avicenna Medical Systems, Inc. is the developer and exclusive licensee of the source code and related Know How covering the MedRec Tool and its various modules. Said rights derives from a license obtained from Department of Veterans Affairs (VA ID# 2016-186), on September 12th, 2017, and Derivative Work developed by Avicenna.

System of Records: Veterans Health Information Systems and Technology Architecture (Vista) Records-VA (79VA10) AUTHORITY FOR MAINTENANCE OF THE SYSTEM: Title 38, United States Code, section 7301(a). **Patient Medical Records-VA (24VA10A7). AUTHORITY FOR MAINTENANCE OF THE SYSTEM:** Title 38, United States Code, Sections 501(b) and 304.

Section 1. Characterization of the Information

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

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

Identify and list all Sensitive Personal Information (SPI) that is collected and stored in the system, including Individually Identifiable Information (III), Individually Identifiable Health Information (IIHI), Protected Health Information (PHI), and Privacy- Protected Information. For additional information on these information types and definitions, please see VA Directives and Handbooks in the 6500 series (<https://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.

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"/> Personal Fax Number | <input type="checkbox"/> Health Insurance |
| <input checked="" type="checkbox"/> Social Security Number (Last 4 only) | <input type="checkbox"/> Personal Email Address | <input type="checkbox"/> Beneficiary Numbers |
| <input checked="" type="checkbox"/> Date of Birth | <input checked="" type="checkbox"/> Emergency Contact Information (Name, Phone Number, etc. of a different individual) | <input type="checkbox"/> Account numbers |
| <input type="checkbox"/> Mother's Maiden Name | <input type="checkbox"/> Financial Account Information | <input type="checkbox"/> Certificate/License numbers |
| <input checked="" type="checkbox"/> Personal Mailing Address | | <input type="checkbox"/> Vehicle License Plate Number |
| <input checked="" type="checkbox"/> Personal Phone Number(s) | | <input type="checkbox"/> Internet Protocol (IP) Address Numbers |

- Current Medications
- Previous Medical Records
- Race/Ethnicity
- Tax Identification Number

- Medical Record Number
- Other Unique Identifying Information (list below)

PII Mapping of Components

Medi Rec-Avitracks consists of 5 key components (databases). Each component has been analyzed to determine if any elements of that component collect PII. The type of PII collected by Medi Rec-Avitracks and the reasons for the collection of the PII are in the table below.

PII Mapped to Components

Note: Due to the PIA being a public facing document, please do not include the server names in the table.

PII Mapped to Components

Database Name of the information system collecting/storing PII	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
Med Rec VISN 10	Yes	Yes	DOB, Last 4 of SSN, Name, Address, Phone #, Contacts, PHI	Help providers perform medication reconciliation and brings information from all facilities into a single screen for providers to review and reconcile	Internal Use Only. User must have previous access to VA System
Med Rec Oklahoma	Yes	Yes	DOB, Last 4 of SSN, Name, Address, Phone #, Contacts, PHI	Help providers perform medication reconciliation and brings information from all facilities into a single screen for	Internal Use Only. User must have previous access to VA System

				providers to review and reconcile	
Med Rec Memphis	Yes	Yes	DOB, Last 4 of SSN, Name, Address, Phone #, Contacts, PHI	Help providers perform medication reconciliation and brings information from all facilities into a single screen for providers to review and reconcile	Internal Use Only. User must have previous access to VA System
Med Rec West Palm Beach	Yes	Yes	DOB, Last 4 of SSN, Name, Address, Phone #, Contacts, PHI	Help providers perform medication reconciliation and brings information from all facilities into a single screen for providers to review and reconcile	Internal Use Only. User must have previous access to VA System
Avi-Tracks Ann Arbor	Yes	Yes	DOB, Last 4 of SSN, Name, Address, Phone #, Contacts, PHI	Help providers perform medication reconciliation and brings information from all facilities into a single screen for providers to review and reconcile	Internal Use Only. User must have previous access to VA System

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

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

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

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

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

Information is from VISTA/CPRS only. Medi-Rec Avi-Tracks uses data from CPRS/VISTA and formats in an easier to use/read format. This system creates notes based on the data the provider enters into the tool, which is then pasted/transferred into CPRS.

1.3 How is the information collected?

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

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

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

Currently using VIA (Vista Integrator Adapter) will be moving to VDIF (Veterans Data Integration and Federation) in the next few months.

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

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

If the system checks for accuracy by accessing a commercial aggregator of information, describe this process and the levels of accuracy required by the contract.

This question is related to privacy controls DI-1, Data Quality, and DI-2, Data Integrity and Integrity Board.

Information is pulled into MediRec-Avitracks using unique patient identifiers internal to the VA from VistA.

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

System of Records: Veterans Health Information Systems and Technology Architecture (VistA) Records-VA (79VA10) AUTHORITY FOR MAINTENANCE OF THE SYSTEM: Title 38, United States Code, section 7301(a). **Patient Medical Records-VA (24VA10A7). AUTHORITY FOR MAINTENANCE OF THE SYSTEM:** Title 38, United States Code, Sections 501(b) and 304.

1.6 PRIVACY IMPACT ASSESSMENT: Characterization of the information

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

Consider the following Fair Information Practice Principles (FIPPs) when assessing the risk to individual privacy:

Principle of Purpose Specification: Explain how the collection ties with the purpose of the underlying mission of the organization and its enabling authority.

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

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

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

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

Follow the format below when entering your risk assessment:

Privacy Risk: This product is launched from within CPRS/VistA. VistA System contains sensitive personal information – including social security numbers, names, and protected health information – on veterans, VA and contractor employees. Due to the highly sensitive nature of this data, there is a risk that, if the data were accessed by an unauthorized individual or otherwise breached, serious harm or even identity theft may result.

Mitigation: Veterans Health Administration (VHA), facilities deploy extensive security measures to protect the information from inappropriate use and/or disclosure through both access controls and training of all employees and contractors. Security measures include access control, configuration management, media protection, system and service acquisition, audit and accountability measures, contingency planning, personnel security, system and communication protection, awareness and training, identification authentication, physical and environmental protection, system information integrity, security assessment and authorization, incident response, risk assessment, planning and maintenance.

Section 2. Uses of the Information

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

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

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

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

DOB- Used for patient identification
Last 4 of SSN-Used for patient identification
Name-Used for patient identification -
Address- Used to send letters to patients
Phone #- Used to communicate with patient
Contacts- Used as contact for emergency purposes
PHI- Used to make medical decision

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

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

reporting, or pattern analysis. Describe any type of analysis the system conducts and the data that is created from the analysis.

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

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

The system does not produce new data. The system aggregates data across multiple sources.

2.3 How is the information in the system secured?

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

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

This question is related to security and privacy controls SC-9, Transmission Confidentiality, and SC-28, Protection of Information at Rest

The system uses https protocol. All data is stored within the VA firewall and never goes outside the VA. The system only stores the last 4 of the SS number.

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

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

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

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

Principle of Use Limitation: Is the use of information contained in the system relevant to the mission of the project?

This question is related to privacy control AR-4, Privacy Monitoring and Auditing, AR-5, Privacy Awareness and Training, and SE-2, Privacy Incident response.

Add answer here:

This system is only available to users at the VA that have access to CPRS. Only staff with a need to know have access to PII within CPRS. Users have access to the PII that is transiently stored in eScreening/VistA via the VA Privacy Notice. Access to PII is determined by the currently assigned VistA access level, contexts and roles. The application manager is responsible for assigning users to the appropriate user roles to limit access for different parts of the application and assuring PII safeguards as documented in the user manual, technical manual, and system design document.

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

Patient name, DOB, SSN last 4, is retained and not deleted.

3.2 How long is information retained?

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

The VA records officer should be consulted early in the development process to ensure that appropriate retention and destruction schedules are implemented. This question is related to privacy control DM-2, Data Retention and Disposal.

PHI is temporarily retained as needed and is deleted within 5 days of no longer being needed (inpatient discharge)

Patient name, DOB, SSN last 4, is retained and not deleted.

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

An approved records schedule must be obtained for any IT system that allows the retrieval of a record via a personal identifier. The VA records officer will assist in providing a proposed schedule. The schedule must be formally offered to NARA for official approval. Once NARA approves the proposed schedule, the VA records officer will notify the system owner. This question is related to privacy control DM-2, Data Retention and Disposal.

Retention schedule is not applicable as data is stored temporarily (see section 3.2). There is an approved retention schedule for both CPRS and VistA.

3.4 What are the procedures for the elimination of SPI?

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

Records are deleted from the database.

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

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

No

3.6 PRIVACY IMPACT ASSESSMENT: Retention of information

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

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

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

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

Principle of Data Quality and Integrity: Has the PIA described policies and procedures for how PII that is no longer relevant and necessary is purged?

This question is related to privacy controls DM-1, Minimization of Personally Identifiable Information, and DM-2, Data Retention and Disposal.

Follow the format below:

Privacy Risk: This system is not used as a repository it is just an aggregator. Data is pulled by demand only.

Mitigation: The data is removed from the system within 5 days of no longer being used.

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 3.10 (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>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 shared/received with the Program Office or IT system</i>	<i>Describe the method of transmittal</i>
VistA\CPRS	Information being pulled from VistA\CPRS reformatted and sent back to VistA\CPRS	DOB, Last 4 of SSN, Name, Address, Phone #, Contacts, PHI	Secure VA network

4.2 PRIVACY IMPACT ASSESSMENT: Internal sharing and disclosure

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

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

Follow the format below:

Privacy Risk: There is a risk that an individual may not understand why their information is being collected or maintained about them.

Mitigation: This risk is mitigated by the common practice of providing the NOPP when Veterans apply for benefits. Additionally, new NOPPs are mailed to beneficiaries when there is a change in regulation. Employees and contractors are required to review, sign and abide by the National Rules

of Behavior on a yearly basis as required by VA Handbook 6500 as well as complete annual mandatory Information Security and Privacy Awareness training. Additional mitigation is provided by making the System of Record Notices (SORNs) and Privacy Impact Assessment (PIA) available for review online

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 3.11 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 shared/received 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	NA/	N/A	N/A

If specific measures have been taken to meet the requirements of OMB Memoranda M-06-15 and M-06-16, note them here.

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.

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: MediRec-Avi-Tracks does not share any data outside the VA.

Mitigation: N/A

Section 6. Notice

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

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

This question is directed at the notice provided before collection of the information. This refers to whether the person is aware that his or her information is going to be collected. A notice may include

a posted privacy policy, a Privacy Act statement on forms, or a SORN published in the Federal Register. If notice was provided in the Federal Register, provide the citation.

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

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

79VA10 /85 FR 841 - <https://www.govinfo.gov/content/pkg/FR-2020-12-23/pdf/2020-28340.pdf>
24VA10A7/85 FR 62406 - <https://www.govinfo.gov/content/pkg/FR-2020-10-02/pdf/2020-21426.pdf>
NOPP – 10-163 - https://www.va.gov/vhapublications/ViewPublication.asp?pub_ID=8928

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

If the patient declines data be entered into CPRS it would not populate within this system.

The Veterans' Health Administration (VHA) facilities request only information necessary to administer benefits to veterans and other potential beneficiaries. While an individual may choose not to provide information to the VHA, this will prevent them from obtaining the benefits necessary to them. Employees and VA contractors are also required to provide the requested information to maintain employment or their contract with the VA.

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

VHA permits individuals to agree to the collection of their personally identifiable information (PII) using paper and electronic forms that include Privacy Act Statements outlining why the information is being collected, how it will be used and what Privacy Act system of records the

information will be stored. In addition, information is collected verbally from individuals. These individuals are made aware of why data is collected through the VHA Notice of Privacy Practices and conversations with VHA employees. VA Forms are reviewed by (VHACO) Veterans Health Administration Central Office periodically to ensure compliance with various requirements including that Privacy Act Statements are on forms collecting personal information from Veterans or individuals. VHA uses PII and PHI only as legally permitted including obtaining authorizations were required. Where legally required VHA obtains signed, written authorizations from individuals prior to releasing, disclosing or sharing PII and PHI. Individuals have a right to restrict the disclosure and use of their health information. Individuals who want to restrict the use of their information should submit a written request to the facility Privacy Officer where they are receiving their care.

6.4 PRIVACY IMPACT ASSESSMENT: Notice

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

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

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

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

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

Follow the format below:

Privacy Risk: <<ADD ANSWER HERE>>

Mitigation: <<ADD ANSWER HERE>>

Section 7. Access, Redress, and Correction

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

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

Cite any procedures or regulations your program has in place that allow access to information. These procedures, at a minimum, should include the agency's FOIA/Privacy Act practices, but may

also include additional access provisions. For example, if your program has a customer satisfaction unit, that information, along with phone and email contact information, should be listed in this section in addition to the agency's procedures. See 5 CFR 294 and the VA FOIA Web page at <http://www.foia.va.gov/> to obtain information about FOIA points of contact and information about agency FOIA processes.

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

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

Because this system does not store information there is no data to access. However, if they would like to access the info this system utilizes from VistA they would need to do the following. There are several ways a veteran or other beneficiary may access information about them. The Department of Veterans' Affairs has created the MyHealthVet program to allow online access to their medical records. More information on this program and how to sign up to participate can be found online at [HTTPS://www.myhealth.va.gov/index.html](https://www.myhealth.va.gov/index.html). Veterans and other individuals may also request copies of their medical records and other records containing personal data from the medical facility's Release of Information (ROI) office. Employees should contact their immediate supervisor and Human Resources to obtain information. Contractors should contact Contract Officer Representative to obtain information upon request.

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.

Because the system does not store information there is no data to correct. If information needs to be corrected it would be located in VistA via the following guidelines. Veterans are informed of the amendment process by many resources to include the Notice of Privacy Practice (NOPP) which states: Right to Request Amendment of Health Information. You have the right to request an amendment (correction) to your health information in our records if you believe it is incomplete, inaccurate, untimely, or unrelated to your care. You must submit your request in writing, specify the information that you want corrected, and provide a reason to support your request for amendment. All amendment requests should be submitted to the facility Privacy Officer at the VHA health care facility that maintains your information. If your request for amendment is denied, you will be notified of this decision in writing and provided appeal rights. In response, you may do any of the following: • File an appeal • File a "Statement of

Disagreement” • Ask that your initial request for amendment accompany all future disclosures of the disputed health information. Version Date: January 2, 2019 Page 18 of 19 Information can also be obtained by contacting the facility ROI office

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.

No information is stored within this system so any information that requires correction would be in VistA using the guidelines directions.

Veterans are informed of the amendment process by many resources to include the Notice of Privacy Practice (NOPP) which states:

Right to Request Amendment of Health Information. You have the right to request an amendment (correction) to your health information in our records if you believe it is incomplete, inaccurate, untimely, or unrelated to your care. You must submit your request in writing, specify the information that you want corrected, and provide a reason to support your request for amendment. All amendment requests should be submitted to the facility Privacy Officer at the VHA health care facility that maintains your information. If your request for amendment is denied, you will be notified of this decision in writing and provided appeal rights. In response, you may do any of the following:

- File an appeal
 - File a “Statement of Disagreement”
 - Ask that your initial request for amendment accompany all future disclosures of the disputed health information
- Version Date: January 2, 2019 Page 18 of 19

Information can also be obtained by contacting the facility ROI office.

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

Redress is the process by which an individual gains access to his or her records and seeks corrections or amendments to those records. Redress may be provided through the Privacy Act and Freedom of Information Act (FOIA), and also by other processes specific to a program, system, or group of systems.

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

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

Because this system does not store new information (and the stored information is maintained for a very limited amount of time) there is no data to access. However, if they would like to access the info this system utilizes from VistA they would need to do the following. There are several ways a veteran or other beneficiary may access information about them. The Department of Veterans' Affairs has created the MyHealthVet program to allow online access to their medical records. More information on this program and how to sign up to participate can be found online at [HTTPS://www.myhealth.va.gov/index.html](https://www.myhealth.va.gov/index.html). Veterans and other individuals may also request copies of their medical records and other records containing personal data from the medical facility's Release of Information (ROI) office. Employees should contact their immediate supervisor and Human Resources to obtain information. Contractors should contact Contract Officer Representative to obtain information upon request.

7.5 PRIVACY IMPACT ASSESSMENT: Access, redress, and correction

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

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

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

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

Principle of Individual Participation: Is there a mechanism by which an individual is able to prevent information about him obtained for one purpose from being used for other purposes without his knowledge?

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

Follow the format below:

Privacy Risk: N/A There is a risk that a Veteran does not know how to obtain access to their records or how to request corrections to their records and that the health record could contain inaccurate information and subsequently effect the care the Veterans receive

Mitigation: Because the system does not store information there is no data to access. As discussed in question 7.3, the Notice of Privacy Practice (NOPP), which every patient receives when they enroll, discusses the process for requesting an amendment to ones records. The VHA staffs Release of Information (ROI) offices at facilities to assist Veterans with obtaining access to their health l records and other records containing personal information. The Veterans' Health Administration (VHA) established My HealthVet program to provide Veterans remote access to their health records. The Veteran must enroll to obtain access to all the available Version Date:

January 2, 2019 Page 19 of 19 features. In addition, Privacy and Release of Information Directive 1605.01 establishes procedures for Veterans to have their records amended where appropriate.

Section 8. Technical Access and Security

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

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

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

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

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

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

Only VA users with access to CPRS will have access to use this system.

VA employees who must complete both the HIPAA and Information Security training. Specified access is granted based on the employee's functional category. Role based training is required for individuals with significant information security responsibilities to include but not limited to Information System Security Officer (ISSO), local area managers. Access is requested per policies utilizing Electronic Permission Access System (ePAS). Users submit access requests based on need to know and job duties. Supervisor, ISSO and OI&T (Office of Information & Technology) approval must be obtained prior to access granted. These requests are submitted for VA employees, contractors and all outside agency requests and are processed through the appropriate approval processes. Once inside the system, individuals are authorized to access information on a need to know basis. Strict physical security control measures are enforced to ensure that disclosure to these individuals is also based on this same principle. Access to computer rooms at facilities and regional data processing centers is generally limited by appropriate locking devices and restricted to authorized VA employees and vendor personnel. Information in VistA may be accessed by authorized VA employees. Access to file information is controlled at two levels. The systems recognize authorized employees by series of individually unique passwords/codes as a part of each data message, and the employees are limited to only that information in the file which is needed in the performance of their official duties. Information that is downloaded from VistA and maintained on laptops and other approved

government equipment is afforded similar storage and access protections as the data that is maintained in the original files. Paper documents are similarly secured. Access to paper documents and information on automated storage media is limited to employees who have a need for the information in the performance of their official duties. Access to information stored on automated storage media is controlled by individually unique passwords/codes. Version Date: January 2, 2019 Page 20 of 19 Once inside the system, authorized individuals are allowed to access information on a need to know basis. Strict physical security control measures are enforced to ensure that disclosure to these individuals is also based on this same principle.

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.

Contractors given access to CPRS need to sign BAA and NDA. Contracts are reviewed based on the contract guidelines by the appropriate contract authority (i.e., COR, Contracting Officer, Contract Review Committee). Per specific contract guidelines, contractors can have access to the system only after completing mandatory information security and privacy training, VHA (HIPAA) Health Insurance Portability and Accountability training as well as the appropriate background investigation to include fingerprinting. Certification that this training has been completed by all contractors must be provided to the VHA employee who is responsible for the contract in question. In addition, all contracts by which contractors might access sensitive patient information must include in the contract clarification of the mandatory nature of the training and the potential penalties for violating patient privacy. Contractors must have an approved ePAS request on file and access reviewed with the same requirements as VHA employees.

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

VA offers privacy and security training. Each program or system may offer training specific to the program or system that touches on information handling procedures and sensitivity of information. Please describe how individuals who have access to PII are trained to handle it appropriately. This question is related to privacy control AR-5, Privacy Awareness and Training.

All VA employees who have access to VA computers must complete the onboarding and annual mandatory privacy and information security training. In addition, all employees who have access to Protected health information or access to VHA computer systems must complete the VHA mandated Privacy and HIPAA Focused raining. Finally, all new employees receive face-to-face training by the Version Date: January 2, 2019 Page 21 of 19 facility Privacy Officer and Information Security Officer during new employee orientation. The Privacy and Information Security Officer also perform subject specific trainings on an as needed basis.

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

If Yes, provide:

1. *The Security Plan Status, Approved*
2. *The Security Plan Status Date, 7/29/2021*
3. *The Authorization Status, Authorization to Operate*
4. *The Authorization Date, 8/6/2021*
5. *The Authorization Termination Date, 11/4/2021*
6. *The Risk Review Completion Date 8/2/2021*
7. *The FIPS 199 classification of the system (LOW/MODERATE/HIGH). High*

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

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

Currently in production and working on obtaining new ATO.

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, 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.

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

No

9.2 Identify the cloud model being utilized.

Example: Software as a Service (SaaS), Infrastructure as a Service (IaaS), Platform as a Service (PaaS), Commercial off the Shelf (COTS).

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

N/A

9.3 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)

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

N/A

9.4 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.

N/A

9.5 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.

N/A

9.6 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).

N/A

Section 9. 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

ID	Privacy Controls
UL-1	Internal Use
UL-2	Information Sharing with Third Parties

Signature of Privacy Officers

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

Privacy Officer, Christian Loftus

Information System Security Officer (ISSO), Andrew Vilailack

Information System Owner, Nichole Setla

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).

NOPP – 10-163 - https://www.va.gov/vhapublications/ViewPublication.asp?pub_ID=8928