



Privacy Impact Assessment for the VA IT System called:

Salesforce – Office of Inspector General (OIG) Legal Case Management System

VA Corporate Office

Office of Inspector General

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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?” and will be published online to accompany the PIA link.

Leveraging the AdvoLogix Salesforce API, Salesforce – Office of Inspector General (OIG) Legal Case Management System (SF – OLCMS) will be used by the VA Office of Inspector General, Office of Counselor to manage projects which provide legal guidance, employee performance and discipline, reasonable accommodation, litigation, unemployment commission, audits, healthcare inspection and investigations from inception to completion through streamlining the current process with automation. VA employees utilize the SF – OLCMS for workflow automation, automation of documentation, case matrix, organization of work product, task management, and scheduling with contact management.

Overview

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

1 General Description

A. The IT system name and the name of the program office that owns the IT system.

Salesforce – Office of Inspector General (OIG) Legal Case Management System is controlled by the Office of Inspector General within the Veteran Affairs Central Office.

B. The business purpose of the program, IT system, or technology and how it relates to the program office and agency mission.

Leveraging the AdvoLogix Salesforce API, this tool will be used by the VA Office of Inspector General, Office of Counselor to manage projects which provide legal guidance, employee performance and discipline, reasonable accommodation, litigation, unemployment commission, audits, healthcare inspection and investigations from inception to completion through streamlining the current process with automation. SF – OLCMS system will serve as a platform to collect information from existing systems for legal review and analysis and not as a primary system to originally collect information for agency use.

C. Indicate the ownership or control of the IT system or project.

Salesforce Government Cloud Plus (SFGCP) owned in collaboration between Veterans Affairs Central Office (VACO) Information Technology Support Service’s (ITSS), Access Management/VA Business Owners and Office of Information Technology (OIT).

2. Information Collection and Sharing

D. The expected number of individuals whose information is stored in the system and a brief description of the typical client or affected individual.

Approximately 1000 records will be entered into the system annually for all workflows. The following categories of individuals will be covered by the system: (1) VA employees, (2) VA beneficiaries, and (3) private citizens, such as contractors, who conduct official business with the VA, or whose actions affect or relate to the programs and operations of the VA.

E. A general description of the information in the IT system and the purpose for collecting this information.

The Department of Veterans Affairs (VA) Office of Inspector General (OIG) Office of Counselor (50C) Salesforce Legal Case Management system will serve as a platform for attorneys and legal staff to organize information collected from existing VA OIG systems, so the legal office can develop internal legal advice and draft external legal pleadings and correspondence for a full range of legal services in support of the VA OIG mission. The VA OIG operates under the authority of 38 U.S.C. § 312 and the Inspector General Act of 1978, 5 U.S.C. App. 3. The mission of the VA OIG is to perform audits, inspections, investigations, and reviews that improve the efficiency, effectiveness, and integrity of the programs of the Department of Veterans Affairs. The VA OIG Office of Counselor (50C) provides independent legal advice to the Inspector General and OIG managers. The Office provides a full range of legal services to promote and support OIG's mission. Attorneys advise OIG on all internal matters and serve as liaison to the Inspector General legal community, the Department of Justice, and other agencies. OIG attorneys are involved in all aspects of OIG operations, including providing legal support for investigations, audits, and inspections; representing OIG in employment litigation and internal personnel matters; assisting OIG investigators and the Department of Justice in developing potential False Claims Act cases; and advising on legislative initiatives and Congressional testimony.

The VA employees utilize the Salesforce OIG Legal Case Management System (SF –OLCMS) for workflow automation, automation of documentation, case matrix, organization of work product, task management, and scheduling with contact management. Additional attributes of SF-OLCMS are the enhanced organizational leadership reporting and tracking.

PII information captured by the tool are case numbers, Veteran File number/SSN, Veteran/ VA employee name, Veteran/ VA employee contact number, event date, alternate contact number of the Veteran/ VA employee, Date of Birth (DOB). PHI information captured are Veteran/ VA employee health information, diagnosis, healthcare inspection supporting documents including individual patient records.

Non PII/PHI information which are deemed confidential are deliberative material such as disciplinary action, employment history, performance actions, medical files, financial information (settlements, final resolution of the case), confidential VA data – internal investigative reports and external investigative reports, information on all VA Privacy Statues, all other federal enforcement reports, possible Grand Jury information from Department of Justice (DOJ).

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

The tool is an integrated scoped application which connects to existing forms available at Salesforce, in the cloud. Identify Access Manage/ Global Address List (IAM/GAL), Master Person Index (MPI) and to Microsoft 365 capabilities such as Outlook, calendar, providing time sensitive notification with increased user transparency between the AdvoLogix and Microsoft.

Integration to Microsoft and existing forms at OIG is for the purpose of workflow and process automation. IAM/GAL is utilized for authenticating the individuals, VA employees accessing the application. Master Person Index is the source system for validating the information on the Veteran/ Dependent whose cases are under review in the SF - OLCMS.

G. *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.*

The application is a single office operated at the OIG Office. Users are authenticated and allowed access into the tool using Single Sign On (SSO) two-factor authentication. User login and access is monitored in the Salesforce – OIG Legal Case Management System.

3. Legal Authority and SORN

H. *A citation of the legal authority to operate the IT system.*

Although Salesforce – Office of Inspector General (OIG) Legal Case Management System data is stored in the Salesforce FedRAMP cloud, it remains the property of the VA and as such, the VA remains responsible for the security and privacy of this data. The VA enforces these protection requirements through the implementation of its cybersecurity policies and the Risk Management Framework (RMF) process. Under the RMF Process, the system has a Data Security Categorization of Moderate, with the impacts of a data compromise being identified in the SF – OLCMS Data Security Categorization (DSC) memo. The Privacy Act of 1974, set forth at 5 U.S.C. 552a, states the legal authority to utilize this information. The SORN's applicable for the system are, a) Criminal Investigations-VA – [11VA51](#), b) Inspector General Hotline (Complaint Center) Records – [66VA53](#), c) The Office of Inspector General Management Information System (MIS)-VA – [71VA53](#), d) OPM GOVT-3 - Records of Adverse Actions, Performance Based Reductions in Grade and Removal Actions, and Terminations of Probationers [71 FR 35342](#), e) Equal Employment Opportunity in the Federal Government Complaint and Appeal Records-EEOC/GOV-1 [67 FR 49338](#) and [81 FR 81116](#), f) Appeals and Case Records- MSPB/GOVT – 1 [77 FR 65206](#).

As per the SORNs listed, The U.S. government is authorized to ask for this information under Executive Orders 9397, 10450, 10865, 12333, and 12356; sections 3301 and 9101 of title 5, U.S. Code; sections 2165 and 2201 of title 42, U.S. Code; sections 781 to 887 of title 50, U.S. Code; parts 5, 732, and 736 of title 5, Code of Federal Regulations; and Homeland Security Presidential Directive 12.

I. *If the system is in the process of being modified and a SORN exists, will the SORN require amendment or revision and approval? If the system is using cloud technology, does the SORN for the system cover cloud usage or storage?*

Yes, some of the SORN's are in the process of being updated. Yes, the SORNs listed states the authority for maintenance of the information of the system as follows:

1. Criminal Investigations-VA – [11VA51](#), Inspector General Act of 1978, Public Law (P.L.) 95–452, 5 U.S.C. App., as amended through P.L. 115–254 (IG Act).
2. Inspector General Hotline (Complaint Center) Records – [66VA53](#), Inspector General Act of 1978, Public Law (Pub. L.) 95–452, 5 U.S.C. App., as amended through Public Law 115–254 (IG Act).
3. The Office of Inspector General Management Information System (MIS)-VA – [71VA53](#), Inspector General Act of 1978, Public Law (Pub L.) 95–452, 5 U.S.C. App., as amended through Public Law 115–254 (IG Act).
4. OPM GOVT-3 - Records of Adverse Actions, Performance Based Reductions in Grade and Removal Actions, and Terminations of Probationers [71 FR 35342](#), [5 U.S.C. 3321](#), [4303](#), [7504](#), [7514](#), and [7543](#).
5. Equal Employment Opportunity in the Federal Government Complaint and Appeal Records-EEOC/GOV-1 [67 FR 49338](#) and [81 FR 81116](#), [42 U.S.C. 2000e-16\(b\)](#) and [\(c\)](#); [29 U.S.C. 204\(f\)](#) and [206\(d\)](#); [29 U.S.C. 633\(a\)](#); [29 U.S.C. 791](#); Reorg. Plan No. 1 of 1978, [43 FR 19607](#) (May 9, 1978); Exec. Order No. 12106, [44 FR 1053](#) (Jan. 3, 1979).

D. System Changes

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

The completion of this PIA will not result in changes to business process.

K. Whether the completion of this PIA could potentially result in technology changes

Salesforce – Office of Inspector General (OIG) Legal Case Management system is a web-based application. This PIA will not result in any other technological changes.

Section 1. Characterization of the Information

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

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

Identify and list all Sensitive Personal Information (SPI) that is collected and stored in the system, including Individually Identifiable Information (III), Individually Identifiable Health Information (IIHI), Protected Health Information (PHI), and Privacy- Protected Information. For additional information on these information types and definitions, please see VA Directives and Handbooks in the 6500 series (<https://vaww.va.gov/vapubs/>). If the system creates information (for example, a score, analysis, or report), list the information the system is responsible for creating.

If a requesting system receives information from another system, such as a response to a background check, describe what information is returned to the requesting system.

This question is related to privacy control AP-1, Authority To Collect, and AP-2, Purpose Specification.

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

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

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

- | | |
|---|---|
| <input type="checkbox"/> Medications | <input type="checkbox"/> Integrated Control |
| <input checked="" type="checkbox"/> Medical Records | Number (ICN) |
| <input type="checkbox"/> Race/Ethnicity | <input type="checkbox"/> Military |
| <input type="checkbox"/> Tax Identification | History/Service |
| Number | Connection |
| <input type="checkbox"/> Medical Record | <input type="checkbox"/> Next of Kin |
| Number | <input checked="" type="checkbox"/> Other Data Elements |
| <input type="checkbox"/> Gender | (list below) |

Veteran Case Number, Veteran File Number (can be a unique number or the Social Security Number), Case List (Type, event date, contact number, alternate contact number), Health information (diagnosis, healthcare inspection supporting documents such as individual patient record), Deliberative material (disciplinary action, employment history, performance actions, medical files, financial information (settlements, final resolution of the case), confidential VA data – internal investigative reports and external investigative reports, information on all VA Privacy Statues, all other federal enforcement reports, possible Grand Jury information from DOJ)

PII Mapping of Components (Servers/Database)

Salesforce – Office of Inspector General (OIG) Legal Case Management System (SF – OLCMS) consists of zero (0) key components (servers/databases). Each component has been analyzed to determine if any elements of that component collect PII. The type of PII collected by SF – OLCMS 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 the server names in the table. **The first table of 3.9 in the PTA should be used to answer this question.**

Internal Database Connections

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
N/A	N/A	N/A	N/A	N/A	N/A

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

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

1.2a List the individual, entity, or entities providing the specific information identified above. For example, is the information collected directly from the individual as part of an application for a benefit, or is it collected from other sources such as commercial data aggregators?

Information is collected from Individuals directly. This would be all the people who report their issues/grievances with VA OIG group (VA employee, veterans, and members of the public)

1.2b Describe why information from sources other than the individual is required. For example, if a program's system is using data from a commercial aggregator of information or data taken from public Web sites, state the fact that this is where the information is coming from and then in question indicate why the system is using this source of data.

Information is typically collected from Individuals directly, and from other departments like Office of Resolution Management (ORM) etc. This is required because, even though some of the complaints are initiated by the employee to the ORM department, they are the first Points of Contacts (POCs) for Equal Employment Opportunity Commission (EEOC) cases. This is to say the data that will be recorded in the SF – OLCMS application will also come from ORM.

1.2c If the system creates information (for example, a score, analysis, or report), list the system as a source of information.

Not applicable for this tool.

1.3 How is the information collected?

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

1.3a This question is directed at the means of collection from the sources listed in question 1.2. Information may be collected directly from an individual, received via electronic transmission from another system, or created by the system itself. Specifically, is information collected through technologies or other technologies used in the storage or transmission of information in identifiable form?

SF – OLCMS collects information manually either directly from the individuals or from other departments like ORM based on how the information is sent to OIG Office. For example: the ORM department can send the case records through email, physical paper form, fax etc.

1.3b 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.

The system will not include information collected on a form subject to the Paperwork Reduction Act (PRA). Many records in the system are collected from OIG audits, inspections, and audits, which are not subject to the PRA per the Inspector General Act of 1978 (as amended), section 6(b)(1). Also, VA OIG 50C will not collect information in a manner subject to the PRA for this system, since the system will serve as a platform to collect information from existing systems for legal review and analysis and not as a primary system to originally collect information for agency use.

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

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

1.4a Discuss whether and how often information stored in the system is checked for accuracy. Is information in the system checked against any other source of information (within or outside your organization) before the information is used to make decisions about an individual? For example, is there a computer matching agreement in place with another government agency? For systems that receive data from internal data sources or VA IT systems, describe the system checks to ensure that data corruption has not occurred during transmission.

This is done daily operationally, its then checked for accuracy and maintained in the SF – OLCMS application. Pursuant to Public Law No. 11-4-317, Inspector General Empowerment Act of 2016, OIG's are exempt from the Data Matching provisions of the Computer Matching and Privacy Protection Act of 1988.

1.4b 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.

Not applicable for this application.

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

List the full legal authority for operating the system, specifically the authority to collect the information listed in question 1.1. Provide the authorities in a manner understandable to any potential reader, i.e., do not simply provide a legal citation; use statute names or regulations in addition to citations. Legal authorities include Federal laws, regulations, statutes, and Executive Orders. This question is related to privacy control AP-1, Authority to Collect

The Privacy Act of 1974, as amended, 5 U.S.C. § 552a, establishes a code of fair information practices that govern the collection, maintenance, use, and dissemination of information about individuals that are maintained in systems of records by federal agencies. The SORNs for the system states the authority of maintenance of the system listed in question 1.1 falls under the following:

- i. Criminal Investigations-VA – [11VA51](#) states,
- ii. Inspector General Hotline (Complaint Center) Records – [66VA53](#) states,
- iii. The Office of Inspector General Management Information System (MIS)-VA – [71VA53](#) states,
- iv. OPM GOVT-3 - Records of Adverse Actions, Performance Based Reductions in Grade and Removal Actions, and Terminations of Probationers [71 FR 35342](#) states
- v. Equal Employment Opportunity in the Federal Government Complaint and Appeal Records- EEOC/GOV-1 [67 FR 49338](#) and [81 FR 81116](#) states,
- vi. Appeals and Case Records- MSPB/GOVT – 1 [77 FR 65206](#) states

1.6 PRIVACY IMPACT ASSESSMENT: Characterization of the information

Consider the specific data elements collected and discuss the potential privacy risks and what steps, if any are currently being taken to mitigate those identified risks. (Work with your System ISSO to complete this section)

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

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

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

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

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

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

Follow the format below when entering your risk assessment:

Privacy Risk: More privacy data means more opportunities for unauthorized access, lack of appropriate controls to securing case and legal issue data may result in financial penalties, lawsuits, identity theft and distrust.

Mitigation: Yes. Although legal advice to VA OIG management developed on this system remains privileged and confidential, the management decisions and the records on which they are based are disclosed to individuals pursuant to the publicly available statutory and discovery rules of each legal venue involved. The legal venues include the Merit Systems Protection Board, the EEOC, and Federal District Courts, among others. The accuracy and completeness of any relevant decisions and records are subject to grievance and appeal procedures detailed in the applicable statutes and rules of these various legal venues, which are publicly available.

SF – OLCMS encompass data security rules assigned to determine which data users can access and how this data can be accessed (view, add/edit, delete). Sharing models define company-wide defaults and data access based on a role hierarchy. Security can be applied at the:

- Record level – which matters, documents and other records a user can access and how these can be accessed.
- Screen level – which screens or data on a record can be accessed and how these can be accessed.
- Field level – which fields on a matter or other type of record a user can access and how these can be accessed.

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.

The information collected and maintained in the SF – OLCMS are:

1. Veteran Case Number: Identifies the Veteran related legal case number
2. Veteran File Number (can be a unique number or the Social Security Number): Identifies the Veteran related legal case number
3. Veteran Name: Identifies the Veteran related to case handled at OIG office.
4. Case List Type: Identifies the type of Veteran case being handle by OIG
5. Event date: Identifies the event that trigged the case/ compliant
6. Veteran Contact number: Veteran contact is the individual making the compliant contact details is needed for follow ups and correspondence
7. Veteran alternate contact number: Veteran contact is the individual making the compliant contact details is needed for follow ups and correspondence
8. Veteran or dependent Date of Birth (DOB): Veteran date of birth is needed to calculate the age of the complaining party.
9. Veteran or dependent Health information (diagnosis, healthcare inspection supporting documents such as individual patient record): Veteran's health records are needed as part of Equal Employment Opportunity Commission (EEOC) claim.
10. Deliberative material of Veteran (disciplinary action, employment history, performance actions, medical files, financial information (settlements, final resolution of the case), confidential VA data – internal investigative reports and external investigative reports, information on all VA Privacy Statues, all other federal enforcement reports, possible Grand Jury information from DOJ): This piece support employee relations/ personnel action, this is needed for investigative purposes
11. VA Employee Name: Basic information needed from the complaining party
12. VA Employee Email Address: Basic information needed from the complaining party
13. VA Employee Case Number: Basic information needed from the complaining party
14. Case List Type: Identifies the type of contractor case being handle by OIG
15. Event date: Identifies the event that trigged the case/ compliant
16. VA employee Contact number: VA employee contact is the individual making the compliant contact details is needed for follow ups and correspondence
17. VA employee alternate contact number: VA employee contact is the individual making the compliant contact details is needed for follow ups and correspondence
18. VA employee Date of Birth (DOB): VA employee date of birth is needed to calculate the age of the complaining party
19. VA employee Health Information (diagnosis, healthcare inspection supporting documents such as individual patient record): VA employee health records are needed as part of employee relation cases (ER)
20. Deliberative Material of VA Employee (disciplinary action, employment history, performance actions, medical files, financial information (settlements, final resolution of the case), confidential VA data – internal investigative reports and external investigative reports, information on all VA Privacy Statues, all other federal enforcement reports, possible Grand Jury information from DOJ): This piece support employee relations/ personnel action, this is needed for investigative purposes

21. VA Contractors First and Last name: Identifies the VA contracted in relations the case handled at OIG office.
22. Contractor Financial information: This piece support employee relations/ personnel action, this is needed for investigative purposes
23. Contractor Business related information: Contractor scientific, technical, economic, or engineering information, including patterns, plans, compilations, program devices, formulas, designs, prototypes, methods, techniques, processes, procedures, programs, or codes, whether tangible or intangible, and whether or how stored, compiled, or memorialized physically, electronically, graphically, photographically.
24. Members of the public Criminal Investigative information: information pertaining to suspects or witness includes names, dates of birth, residential and business addresses, email addresses, and phone numbers

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

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

2.2a Many systems sift through large amounts of information in response to a user inquiry or programmed functions. Systems may help identify areas that were previously not obvious and need additional research by agents, analysts, or other employees. Some systems perform complex analytical tasks resulting in, among other types of data, matching, relational analysis, scoring, reporting, or pattern analysis. Describe any type of analysis the system conducts and the data that is created from the analysis.

Not applicable for the system

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.

Based on the cases received at OIG office, new records created, or existing records will be updated in the SF-OLCMS application for tracking the status of these legal cases. The application will be used and maintained by VA OIG group.

2.3 How is the information in the system secured?

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

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

Data in transit are protected by HTTPS site-to-site encryption. PII data are encrypted at rest with Salesforce Shield encryption

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

SSN is PII data, encrypted at rest with Salesforce Shield encryption. Only VA employees with a business need will have the record view based on security levels

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

Salesforce – Office of Inspector General (OIG) Legal Case Management System (SF – OLCMS) is an encrypted secure system. User roles in SF – OLCMS determines who has visibility into PII/PHI, including SSN.

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?

The SORN defines the information use of the information and how the information is accessed, contained, and stored in the system. As per the SORN, strict control measures are enforced to ensure that access to and disclosure are limited to a need-to-know based on the official duties, including personnel in the VA OIG Office of Investigations, VA OIG Human Resources Management Division, VA OIG attorneys, and VA OIG management officials responsible for supervising any VA OIG employee. Access to the computerized information is limited to VA OIG employees by means of passwords and authorized user identification codes.

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

Yes, controls are in place to ensure data is used and protected in accordance with legal requirements, VA policies, and VA's stated purpose for using the data. Controls include mandatory training completion for all employees, volunteers, and contractors. Additionally, audits are performed to

ensure information is accessed and retrieved appropriately. VA and Salesforce have implemented required security and privacy controls for Federal information systems and organizations according to NIST SP 800-53 and VA Handbook 6500, Risk Management Framework for VA Information Systems. Per the approval of the Acting Assistant Secretary for Information Technology [the VA Authorizing Official (AO)]. VA Records Management Policy and the VA Rules of Behavior in Talent Management System (TMS) govern how Veterans' information is used, stored, and protected.

2.4c Does access require manager approval?

Yes, managers approve the new users accessing the application SF- OLCMS.

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

Yes, IAM systems verify credential and collect audit logs based on access requested and may contain PII that might have been captured into order to authenticate to the resource.

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

Accessibility to data is granted based on the permission sets and role-based hierarchy applied based on FedRAMP Salesforce Gov Cloud Plus platform. Account creation is managed and offered through VA via two factor authentication (2FA) Personal Identity Verification (PIV) card and/or Access VA. Single Sign On external (SSOe) is used to provide credential access to VA modules/communities residing in the Salesforce application, the determinant of access is organizational affiliation rather than personal identity. For some module(s) the required organizational e-mail confirmation and multi-factor authentication (MFA) will be enforced (IAL1), but no identity proofing (IAL2) and vice versa. The managers will reject any applications from individuals who do not work with them, do not require access, or are not using the correct e-mail address. IAM systems verify credential and collect audit logs based on access requested and may contain PII that might have been captured into order to authenticate to the resource.

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*

Salesforce – Office of Inspector General (OIG) Legal Case Management System retains:

1. Veterans information such as Veteran Case Number, Veteran File Number (can be a unique number or the Social Security Number), Veteran Name, Case List (Type, event date, contact number, alternate contact number), Date of Birth (DOB) Health information (diagnosis,

healthcare inspection supporting documents such as individual patient record), Deliberative material (disciplinary action, employment history, performance actions, medical files, financial information (settlements, final resolution of the case), confidential VA data – internal investigative reports and external investigative reports, information on all VA Privacy Statues, all other federal enforcement reports, possible Grand Jury information from DOJ)

2. VA employee information such as VA Employee Name, VA Employee Email Address, VA Employee Case Number, Case List (Type, event date, contact number, alternate contact number), Date of Birth (DOB), Health Information (diagnosis, healthcare inspection supporting documents such as individual patient record), Deliberative Material (disciplinary action, employment history, performance actions, medical files, financial information settlements, final resolution of the case), confidential VA data – internal investigative reports and external investigative reports, information on all VA Privacy Statues, all other federal enforcement reports, possible Grand Jury information from DOJ)
3. VA Contractor information such as First and Last name, financial information, Business Information, scientific, technical, economic, or engineering information, including patterns, plans, compilations, program devices, formulas, designs, prototypes, methods, techniques, processes, procedures, programs, or codes, whether tangible or intangible, and whether or how stored, compiled, or memorialized physically, electronically, graphically, photographically.
4. Members of the public/ individual information such as Criminal Investigative information pertaining to suspects or witness includes names, dates of birth, residential and business addresses, email addresses, and phone numbers.

3.2 How long is information retained?

In some cases VA may choose to retain files in active status and archive them after a certain period of time. State active file retention periods, as well as archived records, in number of years, for the information and record types. For example, financial data held within your system may have a different retention period than medical records or education records held within your system, please be sure to list each of these retention periods. The VA records officer should be consulted early in the development process to ensure that appropriate retention and destruction schedules are implemented. If the system is using cloud technology, will it be following the NARA approved retention length and schedule? This question is related to privacy control DM-2, Data Retention and Disposal.

The information is retained following the policies and schedules of VA's Records Management Service, General Control Schedule 10-1 can be found at the following link:
<https://www.va.gov/vhapublications/RCS10/rcs10-1.pdf>.

The information is retained following the policies and schedules of VA's Records Management Service. Records Schedules for VA Inspector General records can be found at the following link:
https://www.archives.gov/files/records-mgmt/rcs/schedules/departments/department-of-veterans-affairs/rg-0015/daa-0015-2013-0004_sf115.pdf. Working Papers (Disposition Authority # DAA-0015-2013-0004-0007). Records for this system are collected from existing systems of record for legal analysis and action, including disciplinary action and defense of the OIG in administrative and

civil litigation. Disposition instructions: Temporary, destroy 3 years after submission of report, but longer retention is authorized if required for business use.

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

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

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

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

The information is retained following the policies and schedules of VA's Records management Service and NARA in "Department of Veterans Affairs Records Control Schedule 10-1". Record Control Schedule 10-1 can be found at the following link:

<https://www.va.gov/vhapublications/RCS10/rcs10-1.pdf>

Additionally, the retention schedule for SFGCP is also applied to Salesforce – OIG Legal Case Management System.

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

SFGCP complies with all VA retention and disposal procedures specified in VA Handbook 6300 and VA Directive 6500. Records contained in the Salesforce FedRAMP cloud will be retained as long as the information is needed in accordance with a NARA-approved retention period. VA manages Federal records in accordance with NARA statutes including the Federal Records Act (44 U.S.C. Chapters 21, 29, 31, 33) and NARA regulations (36 CFR Chapter XII Subchapter B). SFGCP records are retained according to the Record Control Schedule 10-1 Section 4 (Disposition of Records).

Request for Records Disposition Authority. Disposition Authority: DAA-0015-2013-0004.

https://www.archives.gov/files/records-mgmt/rcs/schedules/departments/department-of-veterans-affairs/rg-0015/daa-0015-2013-0004_sf115.pdf.

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.

All electronic storage media used to store, process, or access records will be disposed of in adherence with the VA Directive 6500. (https://www.va.gov/vapubs/search_action.cfm?dType=1)

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.

Salesforce – Office of Inspector General (OIG) Legal Case Management System does not use PII information of the users stored in this application for research, testing or training. Users accessing the tool would have to undergo basic Privacy training such as, Privacy and Information Security Awareness and Rules of Behavior and information security training annually.

3.6 PRIVACY IMPACT ASSESSMENT: Retention of information

Discuss the risks associated with the length of time data is retained and what steps, if any, are currently being taken to mitigate those identified risks. (Work with your System ISSO to complete all Privacy Risk questions inside the document this section).

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

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

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

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

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

Follow the format below:

Privacy Risk: There is risk associated with longer retention time. The system could exceed the retention times to fulfill the VA mission. With longer retention times, the system is at a greater risk of data breach.

Mitigation: By adhering to the data retentions times, Salesforce – OIG Legal Case Management System mitigates the risk posed for information maintained in the system. VA Directive 6500

Cybersecurity Program serves as the authoritative source for addressing and managing a cybersecurity breach or attack (also known as a cyber incident) to contain and limit the damage.

Section 4. Internal Sharing/Receiving/Transmitting and Disclosure

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

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

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

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

State the purpose for the internal sharing. If you have specific authority to share the information, provide a citation to the authority.

For each interface with a system outside your program office, state what specific data elements (PII/PHI) are shared with the specific program office, contractor-supported IT system, and any other organization or IT system within VA.

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

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

Data Shared with Internal Organizations

<i>List the Program Office or IT System information is shared/received with</i>	<i>List the purpose of the information being shared /received with the specified program office or IT system</i>	<i>List the specific PII/PHI data elements that are processed (shared/received/transmitted) with the Program Office or IT system</i>	<i>Describe the method of transmittal</i>
Microsoft 365	Purpose of workflow and process automation	Veteran Case Number, Veteran File Number, Veteran Name, Case List (Type, event date, contact number, alternate contact number), Date of Birth (DOB), Health information	Site-to-site encrypted transmission

<i>List the Program Office or IT System information is shared/received with</i>	<i>List the purpose of the information being shared /received with the specified program office or IT system</i>	<i>List the specific PII/PHI data elements that are processed (shared/received/transmitted) with the Program Office or IT system</i>	<i>Describe the method of transmittal</i>
		(diagnosis, healthcare inspection supporting documents such as individual patient record), Deliberative material (disciplinary action, employment history, performance actions, medical files, financial information (settlements, final resolution of the case), confidential VA data – internal investigative reports and external investigative reports, information on all VA Privacy Statues, all other federal enforcement reports, possible Grand Jury information from DOJ), VA Employee Name, VA Employee Email Address, VA Employee Case Number	
Identify Access Manage/ Global Address List (IAM/GAL)	Authenticating the individuals accessing the application	Veteran/ VA Employee name, Veteran/ VA Employee Contact Information	Site-to-site encrypted transmission
Master Person Index (MPI)	Veteran identity confirmation and return of system identifiers	Veteran Case Number, Veteran File Number, Veteran Name, Case List (Type, event date, contact number, alternate contact number), Date of Birth (DOB), Health information (Diagnosis, healthcare inspection supporting documents such as individual patient record), Deliberative material (disciplinary action, employment history, performance actions, medical files, financial information (settlements, final resolution of the case), confidential VA	Site-to-site encrypted transmission

<i>List the Program Office or IT System information is shared/received with</i>	<i>List the purpose of the information being shared /received with the specified program office or IT system</i>	<i>List the specific PII/PHI data elements that are processed (shared/received/transmitted) with the Program Office or IT system</i>	<i>Describe the method of transmittal</i>
		data – internal investigative reports and external investigative reports, information on all VA Privacy Statues, all other federal enforcement reports, possible Grand Jury information from DOJ), VA Employee Name, VA Employee Email Address, VA Employee Case Number	

4.2 PRIVACY IMPACT ASSESSMENT: Internal sharing and disclosure

Discuss the privacy risks associated with the sharing of information within the Department and what steps, if any, are currently being taken to mitigate those identified risks. (Work with your System ISSO to complete all Privacy Risk questions inside the document this section).

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

Follow the format below:

Privacy Risk: There is a potential loss of information due to theft or destruction with the sharing of information with the listed internal systems.

Mitigation: Release of PII to unauthorized individuals is prohibited by the Privacy standards mandated to all VA employees, affiliates, trainees, volunteers, and contractors. Both contractor and VA employees are required to take Privacy, Health Insurance Portability and Accountability Act (HIPAA), and information security training annually. Safeguards are implemented to ensure data is not sent to unauthorized VA employees, including employee security and privacy training, and required reporting of suspicious activity. Use of secure passwords, access for need-to-know basis, Personal Identification Verification (PIV) Cards, Personal Identification Numbers (PIN), encryption, and access authorization are all measures that are utilized for the system.

Section 5. External Sharing/Receiving and Disclosure

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

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

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

NOTE: Question 3.10 on Privacy Threshold Analysis should be used to answer this question.

Identify and list the names of any Federal, State, or local government agency or private sector organization with which information is shared.

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

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

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

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

Data Shared with External Organizations

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

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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: Not applicable for the system

Mitigation: Not applicable for the system

Section 6. Notice

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

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

These questions are related to privacy control TR-1, Privacy Notice, and TR-2, System of Records Notices and Privacy Act Statements, and TR-3, Dissemination of Privacy Program Information.

6.1a This question is directed at the notice provided before collection of the information. This refers to whether the person is aware that his or her information is going to be collected. A notice may include a posted privacy policy, a Privacy Act statement on forms, or a SORN published in the Federal Register, Notice of Privacy Practice provided to individuals for VHA systems. If notice was provided in the Federal Register, provide the citation.

The Department of Veterans Affairs does provide public notice that the system does exist. This notice is provided in 2 ways:

1. The SORNs defines the information collected from Veterans, use of the information, and how the information is accessed and stored. SORNs applicable are:
 - i. Criminal Investigations-VA – [11VA51](#)
 - ii. Inspector General Hotline (Complaint Center) Records – [66VA53](#)
 - iii. The Office of Inspector General Management Information System (MIS)-VA – [71VA53](#)
 - iv. OPM GOVT-3 - Records of Adverse Actions, Performance Based Reductions In Grade and Removal Actions, and Terminations of Probationers [71 FR 35342](#).
 - v. Equal Employment Opportunity in the Federal Government Complaint and Appeal Records-EEOC/GOV-1 [67 FR 49338](#) and [81 FR 81116](#)
 - vi. Appeals and Case Records- MSPB/GOVT – 1 [77 FR 65206](#)
([Federal Register :: Privacy Act of 1974; System of Records](#))
2. This Privacy Impact Assessment (PIA) also serves as a notice of the Salesforce – OIG Legal Case Management System (OLCMS).

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

Notice provided via [VA Privacy Policy](#)

6.1c Describe how the notice provided for the collection of information is adequate to inform those affected by the system that their information has been collected and is being used appropriately. Provide information on any notice provided on forms or on Web sites associated with the collection.

This system is an internally used VA system utilized for and by VA employees, so the notice is not applicable for the tool.

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.

That is done outside the system.

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.

Individuals do not have a right to consent to uses of the information or to review or to contest the information in this system because the system is a platform for legal staff to collect, review, and analyze information from existing systems; the records and the analyses remain subject to privileges

recognized by the relevant courts and administrative venues. The work product from the analyses in this system is finalized into agency decisions. Agency decisions and relevant records are disclosed to individuals pursuant to the publicly available due process and discovery rules of each legal venue involved. The accuracy and completeness of any relevant decisions and records are subject to grievance and appeal procedures in these legal venues, which are publicly available.

6.4 PRIVACY IMPACT ASSESSMENT: Notice

Describe the potential risks associated with potentially insufficient notice and what steps, if any, are currently being taken to mitigate those identified risks. (Work with your System ISSO to complete all Privacy Risk questions inside the document this section).

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

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

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

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

Follow the format below:

Privacy Risk: Risk is associated with individuals being unaware the system Salesforce – OIG Legal Case Management System exists within the Department of Veterans Affairs.

Mitigation: The VA mitigates this risk by providing the public with notice that the system exists, as discussed in detail in question 6.1.

Section 7. Access, Redress, and Correction

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

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

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

*7.1a Cite any procedures or regulations your program has in place that allow access to information. These procedures, at a minimum, should include the agency's FOIA/Privacy Act practices, but may also include additional access provisions. **For example, if your program has a customer satisfaction unit, that information, along with phone and email contact information, should be listed in this section in addition to the agency's procedures. See 5 CFR 294 and the VA FOIA Web page at <http://www.foia.va.gov/> to obtain information about FOIA points of contact and information about agency FOIA processes.***

As per the SORNs,

Criminal Investigations-VA – 11VA51, Inspector General Hotline (Complaint Center) Records – 66VA53, and The Office of Inspector General Management Information System (MIS)-VA – 71VA53 states:

An individual who seeks access to or wishes to contest records maintained under his or her name in this system must submit a written request to the Chief, Information Release Office (50CI). However, a majority of records in this system are exempt from the records access and contesting requirements under 5 U.S.C. 552a (j) and (k). To the extent that records in this system of records are not subject to exemption, they are subject to access and contest. A determination as to whether an exemption applies shall be made at the time a request for access or contest is received.

OPM GOVT-3 - Records of Adverse Actions, Performance Based Reductions in Grade and Removal Actions, and Terminations of Probationers 71 FR 35342 states:

Individuals against whom such actions are taken must be provided access to the record. However, after the action has been closed, an individual may request access to the official file by contacting the agency personnel or designated office where the action was processed. Individuals must furnish the following information for their records to be located and identified: (1) Name, (2) Date of Birth, (3) Approximate date of closing of the case and kind of action taken, (4) Organizational component involved.

Individuals requesting access must also follow the OPM's Privacy Act regulations on verification of identity and access to records ([5 CFR part 297](#)).

Equal Employment Opportunity in the Federal Government Complaint and Appeal Records- EEOC/GOV-1 67 FR 49338 and 81 FR 81116 states:

Inquiries concerning this system of records should be mailed and addressed to the system manager. Director, Operations Services Division, Office of the Chief Human Capital Officer, EEOC, 131 M Street NE., Washington, DC 20507. It is necessary to provide the following information: (1) Name; (2) date of birth; and (3) mailing address to which response is to be sent.

Appeals and Case Records- MSPB/GOVT – 1 77 FR 65206 states:

Individuals requesting access to their records should contact the Clerk of the Board. If the requester has reason to believe the records in question are located in a regional or field office, it is appropriate to submit the request to that office. Such requests should be addressed to the regional director or chief administrative judge (see list of office addresses in the Appendix). Requests for access to records must follow the MSPB Privacy Act regulations at [5 CFR part 1205](#).

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).

System is not exempt from Privacy Act.

7.1c If the system is not a Privacy Act system, please explain what procedures and regulations are in place that covers an individual gaining access to his or her information.

Not applicable for the 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.

Inaccurate or erroneous information is corrected by a combination of manual input by VA employees and by system automated rules incorporated in the SF- OLCMS.

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.

Individuals do not have a right to consent to particular uses of the information or to review or to contest the information in this system because the system is a platform for legal staff to collect, review, and analyze information from existing systems; the records and the analyses remain subject to privileges recognized by the relevant courts and administrative venues. The work product from the analyses in this system is finalized into agency decisions. Agency decisions and relevant records are disclosed to individuals pursuant to the publicly available due process and discovery rules of each legal venue involved. The accuracy and completeness of any relevant decisions and records are subject to grievance and appeal procedures in these legal venues, which are publicly available.

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.

Individuals do not have a right to consent to particular uses of the information or to review or to contest the information in this system because the system is a platform for legal staff to collect,

review, and analyze information from existing systems; the records and the analyses remain subject to privileges recognized by the relevant courts and administrative venues. The work product from the analyses in this system is finalized into agency decisions. Agency decisions and relevant records are disclosed to individuals pursuant to the publicly available due process and discovery rules of each legal venue involved. The accuracy and completeness of any relevant decisions and records are subject to grievance and appeal procedures in these legal venues, which are publicly available.

7.5 PRIVACY IMPACT ASSESSMENT: Access, redress, and correction

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

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

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

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

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

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

Follow the format below:

Privacy Risk: risk is associated with individuals having no proper guidance regarding access, redress and correction of their information being captured by OLCMS

Mitigation: by publishing this PIA, and the applicable SORN, the VA makes the public aware of the information being captured by the Salesforce – OIG Legal Case Management System.

Section 8. Technical Access and Security

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

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

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

8.1a Describe the process by which an individual receives access to the system.

Managers must approve the VA employees accessing/ requiring to access the SF – OLCMS application. The access to the application the manager/ sponsor should provide a description of the user needs, user's role, and security caveats that apply to the user. The roles will be governed by the permission sets that allow field level control of the information and data. Per VA Directive 6500, the Office of Information Technology (OIT) develops, disseminates, and reviews/updates a formal, documented policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; along with formal, documented procedures to facilitate the implementation of the control policy and associated controls.

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?

The VA documents and monitors individual information system security training activities including basic security awareness training and specific information system security training; and retains individual training records for 7 years. This documentation and monitoring are performed through the use of TMS.

The Salesforce Digital Transformation Center (DTC) contractor team supports the VA Salesforce production environment and as such has access to the VA Salesforce system and data contained therein. This includes PII and VA Sensitive Information. The user roles will be governed by permission sets that allow field level control of the information and data. This information is documented in the user provisioning process with the Digital Transformation Center.

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.

Role-based hierarchy of profiles and permission sets are applied for users accessing the platform. Only authorized VA users can access this tool. Users access the SF – OLCMS application using Single Sign On (SSO) and two factor authentication to log in. Additionally, field audit trails and event monitoring provided by Salesforce platform assists in ensuring only assigned users have access to specific records within SF – OLCMS application.

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.

The Salesforce Digital Transformation Center (DTC) contractor team supports the VA Salesforce production environment and as such has access to the VA Salesforce system and data contained therein. This includes PII and VA Sensitive Information. The contractors who provide support to the system are required to complete annual VA Privacy and Information Security and Rules of Behavior training via the VA's Talent Management System (TMS). The Salesforce DTC team will maintain users, update applications and components, introduce new functionality, govern deployment activities, and ensure user operability. The Salesforce DTC members are not primary users VA Salesforce. The ISO will monitor and review VA Salesforce related support contracts on a regular basis to ensure no gaps in support for the users. Developers do not have access to production PII.

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.

General Training includes: VA Privacy and Information Security Awareness and Rules of Behavior, TMS 10203 - Privacy and Health Insurance Portability and Accountability Act (HIPPA), VA On-Boarding enterprise-wide training, and annual information security training. After the user's initial acceptance of the Rules, the user must reaffirm their acceptance annually as part of the privacy and security awareness training. Acceptance is obtained via electronic acknowledgment and is tracked through the TMS system.

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

8.4a If Yes, provide:

1. *The Security Plan Status: Approved*
2. *The System Security Plan Status Date: 09/13/2022*
3. *The Authorization Status: Active*
4. *The Authorization Date: 09/30/2021*
5. *The Authorization Termination Date: 08/07/2023*
6. *The Risk Review Completion Date: 09/23/2021*
7. *The FIPS 199 classification of the system (LOW/MODERATE/HIGH): Moderate*

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

8.4b If No or In Process, provide your Initial Operating Capability (IOC) date.

This is not applicable.

Section 9 – Technology Usage

The following questions are used to identify the technologies being used by the IT system or project.

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

If so, Does the system have a FedRAMP provisional or agency authorization? If the system does use cloud technology, but does not have FedRAMP authorization, explain how the Cloud Service Provider (CSP) solution was assessed and what FedRAMP documents and processes were used for the assessment in order to comply with VA Handbook 6517. Types of cloud models include: Software as a Service (SaaS), Infrastructure as a Service (IaaS), Platform as a Service (PaaS), Commercial off the Shelf (COTS), Desktop as a Service (DaaS), Mobile Backend as a Service (MBaaS), Information Technology Management as a Service (ITMaaS). This question is related to privacy control UL-1, Information Sharing with Third Parties.

Note: For systems utilizing the VA Enterprise Cloud (VAEC), no further responses are required after 9.1. (Refer to question 3.3.1 of the PTA)

Yes, the Salesforce – Office of Inspector General (OIG) Legal Case Management System utilizes Salesforce Gov Cloud Plus. Salesforce Government Cloud Plus is hosted in the AWS GovCloud. The Salesforce Government Cloud Plus (SFGCP-E) is built on the underlying Salesforce Force.com that is hosted in a FedRAMP Certified FISMA High environment which is in the Amazon Web Services (AWS) GovCloud West. This software utilizes the PaaS Service of Salesforce Gov Cloud Plus

9.2 Does the contract with the Cloud Service Provider, Contractors and VA customers establish who has ownership rights over data including PII? (Provide contract number and supporting information about PII/PHI from the contract). (Refer to question 3.3.2 of the PTA) This question is related to privacy control AR-3, Privacy Requirements for Contractors and Service Providers.

Yes, VA has full ownership of the PI/PHI that will be shared through the Salesforce – Office of Inspector General (OIG) Legal Case Management System. Contract agreement “Salesforce Subscription Licenses, Maintenance and Support”, Contract Number: NNG15SD27B.

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.

Ancillary data is not collected by Salesforce. VA has full ownership over the data stored in the SF – OLCMS.

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.

VA has full authority over data stored in Salesforce – Office of Inspector General Legal Case Management System.

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).

Salesforce – Office of Inspector General Legal Case Management System does not utilize 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

ID	Privacy Controls
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, Roy Fredrikson

Information System Security Officer, James Boring

Information System Owner, Michael Domanski

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).

Notice provided via [VA Privacy Policy](#)

SORN from the OPRM site (https://www.oprm.va.gov/privacy/systems_of_records.aspx) and Federal Register ([Federal Register :: Privacy Act of 1974; System of Records](#))

1. Criminal Investigations-VA – [11VA51](#)
2. Inspector General Hotline (Complaint Center) Records – [66VA53](#)
3. The Office of Inspector General Management Information System (MIS)-VA – [71VA53](#)
4. OPM GOVT-3 - Records of Adverse Actions, Performance Based Reductions in Grade and Removal Actions, and Terminations of Probationers [71 FR 35342](#)
5. Equal Employment Opportunity in the Federal Government Complaint and Appeal Records- EEOC/GOV-1 [67 FR 49338](#) and [81 FR 81116](#)
6. Appeals and Case Records- MSPB/GOVT – 1 [77 FR 65206](#)

Request for Records Disposition Authority. Disposition Authority: DAA-0015-2013-0004.

https://www.archives.gov/files/records-mgmt/rcs/schedules/departments/department-of-veterans-affairs/rg-0015/daa-0015-2013-0004_sf115.pdf.

HELPFUL LINKS:

Record Control Schedules:

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

General Records Schedule 1.1: Financial Management and Reporting Records (FSC):

<https://www.archives.gov/files/records-mgmt/grs/grs01-1.pdf>

National Archives (Federal Records Management):

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

VHA Publications:

<https://www.va.gov/vhapublications/publications.cfm?Pub=2>

VA Privacy Service Privacy Hub:

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

Notice of Privacy Practice (NOPP):

[VHA Notice of Privacy Practices](#)

[VHA Handbook 1605.04: Notice of Privacy Practices](#)