Privacy Impact Assessment for the VA IT System called:

IBM B2B Integrator

Financial Services Center (FSC) Veterans Administration (VA)

Veterans Administration Corporate Office (VACO)

eMASS ID #: 2155

Date PIA submitted for review:

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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?".

The IBM B2B integrator enables Veteran Affairs to exchange data with federal and private sector entities using standardized electronic messages in support of VA business functions. These messages include healthcare messages which are governed under the HIPAA as well as financial data submitted by external vendors. These electronic message systems are replacement to paper based systems which are more costly and less secure.

Overview

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

1 General Description

A. What is the IT system name and the name of the program office that owns the IT system?

IBM B2B integrator is owned by the Financial Service Center (FSC)

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

It will be used to enable other groups within VA to conduct business functions in a cost effective manner by facilitating the transfer of data between systems in a standardized manner. The users of this solution will include the Medical Care Collections Fund (MCCF) Electronic Data Interchange (EDI) Transaction application Suite (TAS) which support the billing and collecting of payments from third party payers of certain kinds of medical care and other services. It also includes the Invoice Payment Processing System (IPPS) which support vendors submitting invoices to the VA for payment.

C. Who is the owner or control of the IT system or project?

The solution is owned by the FSC. The ownership of the data is determined by the sending system.

2. Information Collection and Sharing

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

While a wide variety of data will pass through the IBM B2B integrator, the tool does not store data outside of a 30 day look back window. The short term data store will be used by operational staff to resend data that failed to transfer or validate the content of the data transfer

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

The IBM tool will not collect information only provide means to transfer the information gathered by other system

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

The IBM solution provides a secure transport mechanism for systems to transfer data in agreed upon formats. The data is received and routed to end system based on the configuration entered in the IBM B2B tool. End users will not access the data within the tool but rather review the data in the systems that send or receive it.

G. *Is 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?*

System is only operated at the Financial Service Center.

3. Legal Authority and SORN

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

The Privacy Act of 1974, as amended, 5 U.S.C. § 552a, establishes a code of fair information practices that governs the collection, maintenance, use, and dissemination of information about individuals that is maintained in systems of records by federal agencies. The authority of maintenance of the system listed in question 1.1 falls under Title 28, United States Code, title 38, U.S.C., sections 501(a), 1705, 1710, 1722, 5106, 5317, and 7301a.

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?*

The SORN will not require modification. The solution is utilized under two SORNs Individuals Submitting Invoices/Vouchers for Payment and Accounting Transactional Data-VA (13VA047)The Revenue Program-Billing and Collections Records-VA(114VA10)National Patient Databases-VA (121VA10A7)

4. System Changes

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

No changes will be required

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

No changes will be required

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. It must also match the information provided in question 3.4 of the PTA.

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

☒ Name
☐ Social Security Number
☒ Date of Birth
☐ Mother's Maiden Name
☒ Personal Mailing Address
☒ Personal Phone Number(s)
☒ Personal Fax Number
☐ Personal Email Address
☒ Emergency Contact Information (Name, Phone Number, etc. of a different individual)
☒ Financial Information
☒ Health Insurance Beneficiary Numbers Account numbers

☐ Certificate/License numbers[1]
☐ Vehicle License Plate Number
☐ Internet Protocol (IP) Address Numbers
☐ Medications
☒ Medical Records
☐ Race/Ethnicity
☒ Tax Identification Number
☒ Medical Record Number
☒ Gender
☐ Integrated Control Number (ICN)
☐ Military History/Service Connection
☐ Next of Kin

☒ Other Data Elements (list below)
Patient ID Number
Employment Information
Financial Account Number
Credit card number
Marital Status
Date of Death
Date of Admission
Date of Discharge
National Provider ID (NPI)
Family History
Education History

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

PII Mapping of Components (Servers/Database)

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

IBM B2B intergrator consists of 5 key components and seven downstream FSC databases (servers/databases/instances/applications/software/application programming interfaces (API). Each component has been analyzed to determine if any elements of that component collect PII. The type of PII collected by the IBM B2B integrator and the reasons for the collection of the PII are in the table below.

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

Internal Components Table

Component Name (Database, Instances, Application, Software, Application Program Interface (API) etc.) that contains PII/PHI	**Does this system collect PII? (Yes/No)**	**Does this system store PII? (Yes/No)**	**Type of PII (SSN, DOB, etc.)**	**Reason for Collection/ Storage of PII**	**Safeguards**
Control	No	Yes	User name	Provide application level access control	Encrypted at rest
B2Bi Database	No	No	N/A	N/A	N/A
ITX-A	No	No	N/A	N/A	N/A
Business reference	No	Yes	• *Name* • *Taxpayer ID* • *Patient ID Number* • *Credit Card Number* • *Financial Account Number* • *Address Information* • *Telephone Numbers* • *Date of Birth* • *Age* • *Place of Birth* • *Employment Information* • *Medical Information*	Perform downstream business functions necessary to fulfill claim submission	Encrypted at rest

			• *Education Information* • *Financial Information* • *Marital Status* • *Family History* • *Fax Number* • *Account Numbers* • *Email Address* • *Date of Death* • *Date of Admission* • *Date of Discharge* • *Medical Record Number* *National Provider ID (NPI*		
Global data archive	No	Yes	• *Name* • *Taxpayer ID* • *Patient ID Number* • *Credit Card Number* • *Financial Account Number* • *Address Information* • *Telephone Numbers* • *Date of Birth* • *Age* • *Place of Birth*	Archives transactions that pass through the FSC system	Encrypted. PHI/PII data is not stored in distinct label fields

			• *Employment Information* • *Medical Information* • *Education Information* • *Financial Information* • *Marital Status* • *Family History* • *Fax Number* • *Account Numbers* • *Email Address* • *Date of Death* • *Date of Admission* • *Date of Discharge* • *Medical Record Number* *National Provider ID (NPI*		
EDI_IPPS	No	Yes	• *Name* • *Taxpayer ID* • *Credit Card Number* • *Financial Account Number* • *Address Information* • *Telephone Numbers* • *Education Information* • *Financial Information* • *Fax Number*	Support invoice processing system	Encrypted

			• *Account Numbers* *Email Address*		
ECD_DALC	No	Yes	• *Name* • *Taxpayer ID* • *Credit Card Number* • *Financial Account Number* • *Address Information* • *Telephone Numbers* • *Financial Information* • *Fax Number* • *Account Numbers* • *Email Address*	Support acquisition process	Encrypted
EDI_SCMCCatelog	No	Yes	• *Name* • *Taxpayer ID* • *Credit Card Number* • *Financial Account Number* • *Address Information* • *Telephone Numbers* • *Financial Information* • *Fax Number* • *Account Numbers* • *Email Address*	Support creation and maintaince of VA catalog	Encrypted
EDI_PLO	No	Yes	• *Name* • *Taxpayer ID* • *Credit Card Number* • *Financial Account Number* • *Address Information*	Support purchase order process	Encrypted

			• *Telephone Numbers* • *Financial Information* • *Fax Number* • *Account Numbers* • *Email Address*		
HC_Payer	No	Yes	• *Name* • *Taxpayer ID* • *Patient ID Number* • *Credit Card Number* • *Financial Account Number* • *Address Information* • *Telephone Numbers* • *Date of Birth* • *Age* • *Place of Birth* • *Employment Information* • *Medical Information* • *Education Information* • *Financial Information* • *Marital Status* • *Family History* • *Fax Number* • *Account Numbers* • *Email Address*	Support payment of claims	Encrypted

			• *Date of Death* • *Date of Admission* • *Date of Discharge* • *Medical Record Number* • *National Provider ID (NPI)*		
ECD_ePayment	No	Yes	• *Name* • *Taxpayer ID* • *Patient ID Number* • *Credit Card Number* • *Financial Account Number* • *Address Information* • *Telephone Numbers* • *Date of Birth* • *Age* • *Place of Birth* • *Employment Information* • *Medical Information* • *Education Information* • *Financial Information* • *Marital Status* • *Family History* • *Fax Number*	Support collection of revenue	Encrypted

			• *Account Numbers* • *Email Address* • *Date of Death* • *Date of Admission* • *Date of Discharge* • *Medical Record Number* • *National Provider ID (NPI*		
ECD_FHIR	No	Yes	• *Name* • *Taxpayer ID* • *Patient ID Number* • *Credit Card Number* • *Financial Account Number* • *Address Information* • *Telephone Numbers* • *Date of Birth* • *Age* • *Place of Birth* • *Employment Information* • *Medical Information* • *Education Information* • *Financial Information* • *Marital Status*	Collection of revenue	Encrypted

			• *Family History* • *Fax Number* • *Account Numbers* • *Email Address* • *Date of Death* • *Date of Admission* • *Date of Discharge* • *Medical Record Number* • *National Provider ID (NPI*		

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?

The system does not collect data only receives data from other VA systems that collect the data as part of other business process. Those process require the data to be collected from the individual.

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.

It would be inefficient to require a person to supply the same data to different VA groups supporting a single business process within the VA. The data is only collected one time within the business process of which the IBM tool is a part. The IBM Tool will accept data from VA systems and external trading partners

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

The system does not create data only formats the data that has been received from other VA systems.

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?

All information is collected outside of the IBM tool. Within the VA the information will be collected directly by VistA

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

N/A

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.

The IBM tool will not check for accuracy of the data beyond that the data format is correct. The system will validate that a date is submitted as MMDDCCYY and that the date is valid. It will not validate that the date is correct. The tool primary responsibility is to maintain the integrity of the data to ensure the data accurately reflects what was submitted to FSC. The accuracy of the data will be validated by the system that ultimately processes the data not the IBM tool.

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

N/A

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 governs the collection, maintenance, use, and dissemination of information about individuals that is maintained in systems of records by federal agencies. The authority of maintenance of the system listed in question 1.1 falls under Title 28, United States Code, title 38, U.S.C., sections 501(a), 1705, 1710, 1722, 5106, 5317 and 7301a.

System of Records Notice Individuals Submitting Invoices/Vouchers for Payment and Accounting Transactional Data-VA (13VA047) The Revenue Program-Billing and Collections Records-VA(114VA10) National Patient Databases-VA (121VA10A7)

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: N/A information is not collected within the tool but by other systems

Mitigation: N/A

Section 2. Uses of the Information

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

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

Identify and list each use (both internal and external to VA) of the information collected or maintained. This question is related to privacy control AP-2, Purpose Specification.

PII/PHI Data Element	Internal Use	External Use
Name	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Date of birth	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Personal mail address	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Personal phone number	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Personal fax number	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Emergency Contact information	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Financial Information	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Health insurance Beneficiary Numbers	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.

Medical records	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Tax Identification number	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Medical record numbers	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Gender	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Patient ID number	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Employment Information	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Financial account numbers	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Credit card number	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Marital Status	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Date of death	Fulfill business process of downstream system. IBM B2B tool does not use any of the	Fulfill business process of downstream system. IBM B2B tool does not use any of the

	data internally only supplies the data.	data internally only supplies the data.
Date of Admission	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Date of Discharge	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
National Provider ID (NPI)	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Family History	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Education History	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.
Health insurance Beneficiary Numbers	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.	Fulfill business process of downstream system. IBM B2B tool does not use any of the data internally only supplies the data.

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?

There will be no reporting capabilities implemented within the IBM B2B tool that will report on PHI or PII data that pass through 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.

N/A

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?

The data is encrypted at rest and in transit.

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

N/A system does not collect SSN

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

FSC reviews policy related to security and privacy on a reoccurring basis

2.4 <u>PRIVACY IMPACT ASSESSMENT: Use of the information.</u>

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:

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

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

2.4a How is access to the PII determined?

Access to the data is controlled by the receiving system not the IBM B2B integrator. Each of those system has completed the ATO process including establishing security controls

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

N/A

2.4c Does access require manager approval?

N/A

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

N/A

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

N/A

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*

A copy of the message that passes through the system is retained for 30 days along with metadata regarding the transmission. After 30 days the message is purged. These messages contain all the data elements sent by the upstream system including:

- Name
- Date of birth
- Personal mail address
- Personal phone number
- Personal fax number
- Emergency Contact information
- Financial Information
- Health insurance Beneficiary Numbers
- Medical records
- Tax Identification number
- Medical record numbers
- Gender
- Patient ID number
- Employment Information
- Financial account numbers
- Credit card number
- Marital Status
- Date of death
- Date of Admission
- Date of Discharge
- National Provider ID (NPI)
- Family History

- Education History

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.*

Data within the tool is only retained for 30 days. Long term retention of the data is governed by the VA system which is utilizing the IBM B2B tool to support their business process

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?

N/A record retention is addressed outside of the IBM B2B tool

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

N/A record retention is addressed outside of the IBM B2B tool

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.

The system will automatically delete records greater than 30 days

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.*

The system uses de-identified and synthetic data for conducting testing and training.

3.6 PRIVACY IMPACT ASSESSMENT: Retention of information

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

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

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

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

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

Follow the format below:

Privacy Risk: Messages could be opened and scanned for person data

Mitigation: Message are purged after 30 days which minimizes the amount of data that could be compromised. The messages themselves are not stored in a manner that would allow easy examine the data

Section 4. Internal Sharing/Receiving/Transmitting and Disclosure

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

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

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

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

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

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

Describe how the information is transmitted. For example, is the information transmitted electronically, by paper, or by some other means? Is the information shared in bulk, on a case-by-case basis, or does the sharing partner have direct access to the information?
This question is related to privacy controls AP-2, Purpose Specification, AR-3, Privacy Requirements for Contractors and Service Providers, AR-8, Accounting of Disclosures, TR-1, Privacy Notice, and UL-1, Internal Use.

Data Shared with Internal Organizations

List the Program Office or IT System information is shared/received with	***List the purpose of the information being shared /received with the specified program office or IT system***	***List the specific PII/PHI data elements that are processed (shared/received/transmitted) with the Program Office or IT system***	***Describe the method of transmittal***
N/A	N/A	N/A	N/A

4.2 <u>PRIVACY IMPACT ASSESSMENT: Internal sharing and disclosure</u>

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: System may send more than the minimum necessary data set to perform a given business function

Mitigation: The scope of the data sent to any VA system is reviewed by the ISSO and privacy officer within the system design to ensure minimum use compliance

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

List External Program Office or IT System information is shared/received with	***List the purpose of information being shared / received / transmitted with the specified program office or IT system***	***List the specific PII/PHI data elements that are processed (shared/received/transmitted) with the Program or IT system***	***List the legal authority, binding agreement, SORN routine use, etc. that permit external sharing (can be more than one)***	***List the method of transmission and the measures in place to secure data***
Change Healthcare / Third party payers	Collection of revenue	- *Name* - *Taxpayer ID* - *Patient ID Number* - *Credit Card Number* - *Financial Account Number* - *Address Information* - *Telephone Numbers*	ISA/MOU	VPN

		• *Date of Birth* • *Age* • *Place of Birth* • *Employment Information* • *Medical Information* • *Education Information* • *Financial Information* • *Marital Status* • *Family History* • *Fax Number* • *Account Numbers* • *Email Address* • *Date of Death* • *Date of Admission* • *Date of Discharge* • *Medical Record Number* *National Provider ID (NPI*		
PNC Bank	Collection of revenue	Name Taxpayer ID Patient ID Number Address Information Telephone Numbers Account Numbers Date of Birth Age Place of Birth Employment Information Medical Information Marital Status Email Address Date of Death Date of Admission Date of Discharge • Medical Record Number	ISA/MOU	Secure Shell (SSH) / Secure File Transfer Protocol (SFTP)
SSI Group	Payment of claims	Name Taxpayer ID Patient ID Number Address Information Telephone Numbers Account Numbers Date of Birth Age Place of Birth Employment Information Medical Information Marital Status Email Address Date of Death Date of Admission Date of Discharge Medical Record Number	ISA/MOU	Secure Shell (SSH) / Secure File Transfer Protocol (SFTP)
Tungsten	Payment of invoices	Name Taxpayer ID	ISA/MOU	Secure Shell (SSH) /

		Patient ID Number Credit Card Number Financial Account Number Address Information Telephone Numbers Education Information Financial Information Fax Number Account Numbers Email Address		Secure File Transfer Protocol (SFTP)
EDI invoice submissions	Payment of invoices	Name Taxpayer ID Patient ID Number Credit Card Number Financial Account Number Address Information Telephone Numbers Education Information Financial Information Fax Number Account Numbers Email Address	ISA/MOU	Secure Shell (SSH) / Secure File Transfer Protocol (SFTP)

5.2 <u>PRIVACY IMPACT ASSESSMENT: External sharing and disclosure</u>

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

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

Discuss whether access controls have been implemented and whether audit logs are regularly reviewed to ensure appropriate sharing outside of the Department. For example, is there a Memorandum of Understanding (MOU), contract, or agreement in place with outside agencies or foreign governments.
Discuss how the sharing of information outside of the Department is compatible with the stated purpose and use of the original collection.
This question is related to privacy control AR-2, Privacy Impact and Risk Assessment, AR-3, Privacy Requirements for Contractors and Service Providers, and AR-4, Privacy Monitoring and Auditing

Follow the format below:

<u>Privacy Risk:</u> Data could be misused or improperly secured by receiving system

<u>Mitigation:</u> All systems are required to maintain data in accordance with the HIPAA standards and federal privacy rules. In addition FSC maintains ISA/MOU with entities that send or received data from the FSC

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.

N/A Notice is provided by the system that collected the data

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

N/A system does not collect data

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.

N/A

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.

N/A system does not collect data

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.

N/A system does not collect data

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: N/A system does not collect data

Mitigation: N/A system does not collect data

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.***
Information is not retained within the system for longer than 30 days so it not practical for a person to utilize the tool to access or correct their data. Individuals that wish to review their data will be directed to the sending or receiving system which houses it

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)?

N/A

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?

N/A

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.

Information is not retained within the system for longer than 30 days so it not practical for a person to utilize the tool to access or correct their data. Individuals that wish to review their data will be directed to the sending or receiving system which houses it

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.

N/A

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 ensures data accuracy.***

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

Individuals must correct data within system that collected the information

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: N/A

Mitigation: N/A

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?

FSC users must file a 9957 request to gain access to the system. The request is received by the supervisor, the second tier manager and the security officer to validate that the need exists

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?

N/A

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.

In general end users do not directly access the IBM system. Instead they will interact with other systems that exchange data with the IBM system. The users that will directly access the IBM solution will be the developers and admins that will configure the system for the end users. Currently FSC has configured a single user role which has access to configure the system which is used by developers and system admins. Additional access groups will be created once the system is ready for production release and defined in the system security plan.

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

If so, how frequently are contracts reviewed and by whom? Describe the necessity of the access provided to contractors to the system and whether clearance is required. If Privacy Roles and Responsibilities have been established to restrict certain users to different access levels, please describe the roles and associated access levels. Explain the need for VA contractors to have access to the PII. This question is related to privacy control AR-3, Privacy Requirements for Contractors, and Service Providers.
Yes contractors will have access to the system. They must complete the VA required security training and the request must be documented and vetted on form 9957

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.

FSC follows OIT guidance for security training that is required for staff

8.4 Has Authorization and Accreditation (A&A) been completed for the system?*8.4a If Yes, provide:*

1. *The Security Plan Status:* <<ADD ANSWER HERE>>
2. *The System Security Plan Status Date:* <<ADD ANSWER HERE>>
3. *The Authorization Status:* <<ADD ANSWER HERE>>
4. *The Authorization Date:* <<ADD ANSWER HERE>>
5. *The Authorization Termination Date:* <<ADD ANSWER HERE>>
6. *The Risk Review Completion Date:* <<ADD ANSWER HERE>>
7. *The FIPS 199 classification of the system (LOW/MODERATE/HIGH):* <<ADD ANSWER HERE>>

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.***

No. The system should be operational March 1st 2024

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)*

The system will use the VAEC in the Azure cloud

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.*

N/A

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.

N/A

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.

N/A

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).

N/A

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

ID	Privacy Controls
IP-4	Complaint Management
SE	**Security**
SE-1	Inventory of Personally Identifiable Information
SE-2	Privacy Incident Response
TR	**Transparency**
TR-1	Privacy Notice
TR-2	System of Records Notices and Privacy Act Statements
TR-3	Dissemination of Privacy Program Information
UL	**Use Limitation**
UL-1	Internal Use
UL-2	Information Sharing with Third Parties

Signature of Responsible Officials

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

ANTONIO
HATCHER

Digitally signed by ANTONIO
HATCHER
Date: 2024.01.10 16:11:54 -06'00'

Privacy Officer, Antonio Hatcher

RITO-ANTHONY
BRISBANE

Digitally signed by RITO-ANTHONY BRISBANE
Date: 2024.01.11 07:38:38
-06'00'

Information System Security Officer, Rito-Anthony Brisbane

JONATHAN
LINDOW

Digitally signed by JONATHAN
LINDOW
Date: 2024.01.11 10:04:10 -06'00'

Information System Owner, Jonathan Lindow

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

HELPFUL LINKS:

General Records Schedule
https://www.archives.gov/records-mgmt/grs.html

National Archives (Federal Records Management):
https://www.archives.gov/records-mgmt/grs

VA Publications:
https://www.va.gov/vapubs/

VA Privacy Service Privacy Hub:
https://dvagov.sharepoint.com/sites/OITPrivacyHub

Notice of Privacy Practice (NOPP):
VHA Notice of Privacy Practices
VHA Handbook 1605.04: Notice of Privacy Practices