Privacy Impact Assessment for the VA IT System called:

Pitney Bowes Send Pro - Enterprise

Office of Information Technology (OIT)

Enterprise Mail Management (EMM), Compliance, Risk and Remediation (CRR)

eMASS ID: 1343

Date PIA submitted for review:

12/21/2023

System Contacts:

System Contacts

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Abstract

The abstract provides the simplest explanation for "what does the system do?".

Pitney Bowes Send Pro - Enterprise is a mailing solution that consist of Commercial-Off-The-Shelf (COTS) and Software-as-a-Service (SaaS) which generates mailing indices and shipping labels, provides best cost shipping options, allows for accurate reporting, accountability of volume and expenditures of mail and parcels. Mailing equipment, products and services collect PII/PHI mailing metrics (number of letters/packages mailed, cost for mailing) and collates the data within the SaaS tool to provide a single solution for sending mail and streamlining the mailing process allowing mail management at the VA Enterprise Level.

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?*

Pitney Bowes Send Pro – Enterprise.
Enterprise Mail Management (EMM), Compliance, Risk and Remediation (CRR)

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

Pitney Bowes Send Pro - Enterprise facilitates VA Mail operations by increasing the efficiency of the mailing process such as printing compliant labels and postage to be placed on parcels, letters, and flats being sent via US Mail or shipping vendors.

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

VA Controlled

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?*

Approximately 40,000 individuals have information stored in the system. The typical client or affected individuals are Veterans or Dependents, VA Employees, VA Contractors, Members of the Public/individuals, Volunteers, Clinical Trainees.

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

The types of information the application collects, maintains and shares are the names, addresses and phone numbers for members of the public who receive mail from the VA's mail operations.

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

The type of information sharing conducted by the IT system is internal and external.

G. *Is the system operated in more than one site, and if so, a description of how use of the system and PII is maintained consistently in all sites and if the same controls are used across sites?*

Yes, the system is operated in more than one site. Global address book is shared across all sites and same security controls are used across all sites.

3. Legal Authority and SORN

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

Not applicable. A SORN is not required for this IT system or project.

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?*

Not applicable. A SORN is not required for this IT system or project.

4. System Changes

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

No

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

No

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, SORN 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)

Other PII/PHI data elements: VA personnel user logon information (Username and Password).

PII Mapping of Components (Servers/Database)

Pitney Bowes Send Pro - Enterprise consists of 4 key components (servers/databases/instances/applications/software/application programming interfaces (API). Each component has been analyzed to determine if any elements of that component collect PII. The type of PII collected by Pitney Bowes Send Pro - Enterprise 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.

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

Internal Components Table

Component Name (Database, Instances, Application, Software, Application Program Interface (API) etc.) that contains PII/PHI	**Does this system collect PII? (Yes/No)**	**Does this system store PII? (Yes/No)**	**Type of PII (SSN, DOB, etc.)**	**Reason for Collection/ Storage of PII**	**Safeguards**
MongoDB	Yes	Yes	• Full Name • Personal Mailing Address • Personal Phone Number • VA personnel user logon info (username and password)	The purpose of collecting PII is to store user authentication information and information about the sender. PPI is also used to send parcels to the correct recipient destination.	User training, system documentation; implementation role-based access settings, firewalls, passwords, (NIST's) Special Publication 800-53, as determined using Federal Information Processing (FIPS) 199.
SQL Server / Aurora RDS for relational DB	Yes	Yes	• Full Name • Personal Mailing Address • Personal Phone Number • VA personnel user logon info (username and password)	The purpose of collecting PII is to store user authentication information and information about the sender. PPI is also used to send parcels to the correct recipient destination.	User training, system documentation; implementation role-based access settings, firewalls, passwords, (NIST's) Special Publication 800-53, as determined using Federal Information Processing (FIPS) 199.

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 information originates from VA business systems, address books, directories, and other programs supplying name, addresses, and phone numbers and is entered into the system and subsequently provided to Pitney Bowes.

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.

The system is automated to collected information from VA business systems, address books, directories, and other programs.

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

No. The system collects name and addresses of individuals but does not create new information from this data.

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?

The information is collected via electronic transmission from VA business systems, address books, directories, and other programs.

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?

Not applicable. The information is not collected on a form.

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.*

There is no process in place due to short duration of handling information. Current records control schedules have such data being destroyed after 2 years (and sometimes less) in most situations.

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?

This system does not use commercial aggregation.

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

VA's use of information in Pitney Bowes Send Pro - Enterprise is authorized by 5 U.S.C. 301 which permits agency heads to create the usual and expected infrastructure necessary for the organization to accomplish its purposes and mission. In addition, the security and privacy measures for the system are required by the Federal Information Security Management Act (FISMA) and the statutes underlying OMB Circular A-130 for the secure and efficient use of government systems and resources.

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: Privacy risk for the data elements is minimal. Name, Mailing addresses are well established publicly accepted standard PII elements needed to send parcels, letters, and flats via US mail with USPS or shipping vendors. Members of the public are aware of and voluntarily provide their name and address when corresponding with the VA.

Mitigation: The system only collects PII in accordance with shipping vendor and USPS regulations. The VA relies on shipping vendor and USPS to adequately communicate any changes in their regulations to the public.

Section 2. Uses of the Information

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

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

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

PII/PHI Data Element	Internal Use	External Use
Name	Used to send parcels to the correct recipient destination and for file Identification	Used to send parcels to the correct recipient destination.
Mailing Address	Used to send parcels to the correct recipient destination.	Used to send parcels to the correct recipient destination.
Phone Number	Used for contact Information	Not used
VA Personnel user long info	Used to store user authentication information for application access	Not used

2.2 What types of tools are used to analyze data and what type of data may be produced?
These questions are related to privacy controls DI-1, Data Quality, DI-2, Data Integrity and Integrity Board, and SE-1, Inventory of Personally Identifiable Information.

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

Not Applicable. The system does not conduct analysis to create data.

2.2b If the system creates or makes available new or previously unutilized information about an individual, explain what will be done with the newly derived information. Will it be placed in the individual's existing record? Will a new record be created? Will any action be taken against or for the individual identified because of the newly derived data? If a new record is created, will the newly created information be accessible to Government employees who make determinations about the individual? If so, explain fully under which circumstances and by whom that information will be used.

Not applicable. The system collects name and addresses of individuals but does not create new information from this data.

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 system encrypts data at rest and data in transit.

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

This system does not collect, process, or retain Social Security Numbers

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

The Director and Business System Owner review all user account request, which contain justification. All personnel take mandatory Information Security Awareness and Records Management Training. Administrative safeguards include user training; system documentation that advises on proper use; implementation of Need to Know and Minimum Necessary principles when awarding access, and others. Technical safeguards include role-based access settings, firewalls, and passwords.

2.4 PRIVACY IMPACT ASSESSMENT: Use of the information.

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

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

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

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

2.4a How is access to the PII determined?

Access to the PII is determined by Business System owner who will review all user account request, which contain justification, and utilize their subject matter expertise to determine in a "need to know" before granting access.

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

The criteria, procedures, controls, and responsibilities regarding access are documented in the Pitney Bowes Assess Control Standard Operating Procedures.

2.4c Does access require manager approval?

Yes. Manager approval is needed for account access in accordance with Pitney Bowes AC SOP.

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

All PII Data is being monitor and track according to FedRAMP NIST 800-53.

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

The Director and Business System Owner are responsible for assuring safeguards for the PII.

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*

The information that is retained in the system is Name, Mailing Address, Phone Numbers, weight date and time of the package, letter, or flat, and VA personnel (user) logon information (Username and Password).

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 retention schedule has been approved by the NARA. The guidance for retention of records is found in the Records Control Schedule 10-1 http://www.va.gov/vhapublications/rcs10/rcs10-1.pdf and NARA: https://www.archives.gov/records-mgmt/grs.htmlOfficial record held in the office of record. Temporary; destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1, Item 010 https://www.archives.gov/)) (DAA-GRS 2013-0003-0001) According to VA Handbook 6500, once records are entered into the system they remain as part of the protected system information. System logs are maintained for one year and then flagged for deletion by their automated processes. System logs are not retained after one year and any SPI containing them will be overwritten as part of the process for audit management. When virtual machines are no longer required to support the system, they are wiped clean, and the data overwritten. Paper documents are destroyed to an unreadable state in accordance with the Department of Veterans' Affairs VA Directive 6371, (April 8, 2014), https://www.va.gov/digitalstrategy/docs/VA_Directive_6500_24_Jan_2019.pdf In addition, any equipment that is decommissioned and is leaving the controlled data center will be sanitized (e.g., degaussing) or destroyed in accordance with VA Handbook 6500 and the Veterans Affairs Dedicated Cloud Media Sanitization Procedure. VA Dedicated Cloud Media Sanitization policy outlines the VA Dedicated Cloud policy and procedure for tracking, documentation, and disposal of storage media within the environment and their return to the VA, in accordance with VA Handbook 6500. Logon credentials remain available as long each user has authorized access to the system. Credentials are revoked when access is no longer needed, including if individual moves a different office within VA or leaves employment.

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 retention schedule has been approved by the NARA. The guidance for retention of records is found in the Records Control Schedule 10-1 http://www.va.gov/vhapublications/rcs10/rcs10-1.pdf and NARA: https://www.archives.gov/records-mgmt/grs.html

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

According to VA Handbook 6500, once records are entered into the system they remain as part of the protected system information. System logs are maintained for one year and then flagged for deletion by their automated processes. System logs are not retained after one year and any SPI containing them will be overwritten as part of the process for audit management. When virtual machines are no longer required to support the system, they are wiped clean, and the data overwritten. Paper documents are destroyed to an unreadable state in accordance with the Department of Veterans' Affairs VA Directive 6371, (April 8, 2014), https://www.va.gov/digitalstrategy/docs/VA_Directive_6500_24_Jan_2019.pdf In addition, any equipment that is decommissioned and is leaving the controlled data center will be sanitized (e.g., degaussing) or destroyed in accordance with VA Handbook 6500 and the Veterans Affairs Dedicated Cloud Media Sanitization Procedure. VA Dedicated Cloud Media Sanitization policy outlines the VA Dedicated Cloud policy and procedure for tracking, documentation, and disposal of storage media within the environment and their return to the VA, in accordance with VA Handbook 6500.

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 VA records office will be consulted, and process for destroying or eliminating records will be documented as requested. More information on how to reach out can be found at https://www.va.gov/records/.

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.

All personnel will take mandatory annual Information Security Awareness and Records Management Training. In addition, administrators with privileged accounts will be required to take role-based training annually to maintain account access. The Pitney Bowes Send Pro – Enterprise system provides training for proper use of the system. VA personnel may take advantage of information security and privacy awareness events and workshops held within VA.

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: Unauthorized disclosure and modification of information.

Mitigation: Pitney Bowes Send Pro - Enterprise retains only the minimum amount of information necessary in order to mail documents which are name, mailing address, and phone numbers for recipients. Logon credentials remain available as long as each user has authorized access to the system. Credentials are revoked when access is no longer needed.
Records are maintained under NARA GRS 20, Item 1c; superseded by the new GRS 3.2, item 030, which is for records created as part of their user identification and authorization process to gain access to systems. Retention is until "business use ceases". NARA concurs that agencies may dispose of these records as soon as they are no longer needed. NARA Approved citation GRS 23-8. Disposition: Temporary, destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

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***
Enterprise mail Management Program Office	VA Mail Operations	Name, Mailing Address, Phone Numbers, Logon Information (Username and Password)	Electronically/https
Veterans' Benefits Administration (VBA)	VA Mail Operations	Name, Mailing Address, Phone Numbers, Logon Information (Username and Password)	Electronically/https
Veterans' Health Administration (VHA)	VA Mail Operations	Name, Mailing Address, Phone Numbers, Logon Information (Username and Password)	Electronically/ https/sftp
National Cemetery Administration (NCA)	VA Mail Operations	Name, Mailing Address, Phone Numbers, Logon Information (Username and Password)	Electronically/https
Staff Offices	VA Mail Operations	Name, Mailing Address, Phone Numbers, Logon Information (Username and Password)	Electronically/https

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: Correspondence mailed to the wrong patient, leading to unauthorized disclosure of information.

Mitigation: The system has the minimum amount of information necessary to mail documents which are the name, mailing address, and phone number for recipients. This information is required in printing shipping vendors compliant postage labels. Access to the PII is determined Business System owner who will review all user account request, which contain justification, and utilize their subject matter expertise to determine in a "need to know" exist before granting access. Administrative safeguards include user training; system documentation that advises on proper use; implementation of Need to Know and Minimum Necessary principles when awarding access, and others. Technical safeguards include role-based access settings, firewalls, and passwords. Other appropriate controls have been selected from the National Institute of Standards and Technology's (NIST's) Special Publication 800-53, as determined using Federal Information Processing Standard (FIPS) 199. Technical settings ensure that only Administrators are allowed to reset the password for users if needed.

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***
United States Postal Service (USPS)	Sending Parcels/Mail	Name, Mailing Address, Phone Numbers, Logon Information (Username and Password)	5, U.S.C. 301 Federal Information Security Management Act (FISMA) OMB Circular A-130	HTTPS-User Training System Documentation Need to Know Minimum Necessary Principles Role-based Access Settings Firewalls
United Parcel Service (UPS)	Sending Parcels/Mail	Name, Mailing Address, Phone Numbers, Logon Information (Username and Password)	5, U.S.C. 301 Federal Information Security Management Act (FISMA) OMB Circular A-130	HTTPS-User Training System Documentation Need to Know Minimum Necessary Principles Role-based Access Settings Firewalls

Federal Express (FedEx)	Sending Parcels/Mail	Name, Mailing Address, Phone Numbers, Logon Information (Username and Password)	5, U.S.C. 301 Federal Information Security Management Act (FISMA) OMB Circular A-130	HTTPS-User Training System Documentation Need to Know Minimum Necessary Principles Role-based Access Settings Firewalls

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> The mailing COTS equipment and SaaS software application uses cloud technology to provide a single solution for sending mail and streamlining the mailing process.

<u>Mitigation:</u> The Pitney Bowes SendPro – Enterprise system is FedRAMP "In Process". As such Pitney Bowes as developed a System Security Plan and supporting documents that comply with 325 FedRAMP Moderate controls across 17 control families plus additional VA-Specific controls. These include comprehensive access and audit families of controls. Pitney Bowes SendPro - Enterprise is undergoing rigorous, independent third-party audit that includes testing, examination, evidence and pen testing. FedRAMP access, audit, and other controls are followed and evidenced continually, weekly, monthly, quarterly, etc. as prescribed by the FedRAMP Moderate impact SSP statements. VA Authority to Operate is expected May 2021.

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.

Information is not collected directly from individuals who are the subject of the information.

24VA10A7 / 85 FR 62406 – Patient Medical Records-VA - 2020-21426.pdf (govinfo.gov)

OPM/GOVT-1 General Personnel Records - 2012-29777.pdf (govinfo.gov), modification 2015-30309.pdf (govinfo.gov)

41VA41 / 87 FR 10283 – Veterans and Dependents National Cemetery Gravesite Reservation Records-VA - 2022-03795.pdf (govinfo.gov)

58VA21/22/28 / 86 FR 61858 – Compensation, Pension Education and Vocational Rehabilitation and Employment Records-VA - 2021-24372.pdf (govinfo.gov)

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

No prior notice is provided. Information is not collected directly from individuals who are the subject of the information. Name and mailing address are well established publicly accepted standard PII elements needed to send parcels, letters, and flats via US mail with shipping vendors. Members of the public are aware of and voluntarily provide their name and address when corresponding with the VA.

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.

Not Applicable. Information is not collected directly from individuals who are the subject of the information.

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.

No, Information is not collected directly from individuals who are the subject of the information.

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.

No. Information is not collected directly from individuals who are the subject of the information.

6.4 <u>PRIVACY IMPACT ASSESSMENT: Notice</u>

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:

<u>Principle of Transparency:</u> Has sufficient notice been provided to the individual?

<u>Principle of Use Limitation:</u> 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:

<u>Privacy Risk:</u> The potential risk with insufficient notice is correspondence mailed to the wrong patient, leading to unauthorized disclosure of information.

<u>Mitigation:</u> The system only collects information in accordance with shipping vendor and USPS regulations.

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.***

Not applicable. Information is not collected directly from individuals who are the subject of the information. However, if the recipient would like to request to opt-out of receiving mail from the VA, they may notify the VA sender via mail or contact number to not send them mail via US Mail or other delivery services.

7.1b If the system is exempt from the access provisions of the Privacy Act, please explain the basis for the exemption or cite the source where this explanation may be found, for example, a Final Rule published in the Code of Federal Regulations (CFR)?

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

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

The system is a Privacy Act system.

7.2 What are the procedures for correcting inaccurate or erroneous information?

Describe the procedures and provide contact information for the appropriate person to whom such issues should be addressed? If the correction procedures are the same as those given in question 7.1, state as much. This question is related to privacy control IP-3, Redress, and IP-4, Complaint Management.

VA Privacy Service provides a process for individuals to have inaccurate PII maintained by VA corrected or amended as detailed in the VA Handbook 6300.4 pp. 6-9 and the 38 CFR Book 1.579 Amendment of records.

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.

PII/PHI is not collected directly from the individual by Pitney Bowes. It is collected from other VA entities, where the individual is notified at the time of the information is collected via the written privacy notice.

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 may contact VA using contact information available on VA.gov and by phone.

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: Access could be inadvertently granted to unauthorized individuals.

Mitigation: The user's identity is verified whenever a request is made by showing valid identification in person. If not requesting access in person, individuals are asked questions to confirm their identity via phone or online authentication methods.

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?

Only OIT staff are authorized to create, enable, modify, disable, and remove information system accounts upon receipt of an access request form approved by the Mail Managers, Supervisor (supply chain), Automated Data Processing Applications Coordinator (ADPAC), or COR. Access to the information is determined Business System owner who will review all user account request, which contain justification, and utilize their subject matter.

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?

Users from other agencies do not have access to this system.

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.

All users have full access to the system.

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

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

Contractors will have access to the Pitney Bowes Send Pro - Enterprise system. The PII access is the same as they currently hold while performing mail duties as a mail clerk or mail supervisor in a VA Mail Center. Most contractors do have NDAs in place already.

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

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

All personnel take mandatory Information Security Awareness and Records management Training. Administrators with privileged accounts are required to take role-based training annually to maintain account access.

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:* 30-Mar-2022
3. *The Authorization Status:* Authorization to Operate (ATO)
4. *The Authorization Date:* 02-Sep-2021
5. *The Authorization Termination Date:* 02-Sep-2024
6. *The Risk Review Completion Date:* 25-Aug-2021
7. *The FIPS 199 classification of the system 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.***

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, cloud model used is FedRAMP approved Software as a Service (SaaS)

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.*

ID: E-2280 - National () - Pitney Bowes SendPro, dated July 2021.

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.
CSP will not collect any ancillary data.

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.

Overall protection of privacy data is the responsibility of the VA. Privacy and data protections policies are documented in the approved VA and CSP security policies. These protections are also included in the contractual requirement for FedRAMP authorization. The SaaS system receives a full risk assessment annually with any remediations overseen by CSP ISO and VA ISOs.

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).

The system does not use RPA.

Section 10. References

Summary of Privacy Controls by Family

Summary of Privacy Controls by Family

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

Signature of Responsible Officials

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

Lynn A Olkowski
Digitally signed by Lynn A Olkowski
Date: 2024.02.20 07:58:52 -06'00'

Privacy Officer, Lynn Olkowski

LONNIE JOSEPH
Digitally signed by LONNIE JOSEPH
Date: 2024.02.21 07:13:37 -06'00'

Information System Security Officer, Lonnie Joseph

ROBERT MAAS
Digitally signed by ROBERT MAAS
Date: 2024.02.21 08:26:47 -05'00'

Information System Owner, Rob Maas

APPENDIX A-6.1

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

24VA10A7 / 85 FR 62406 – Patient Medical Records-VA - 2020-21426.pdf (govinfo.gov)

OPM/GOVT-1 General Personnel Records - 2012-29777.pdf (govinfo.gov), modification 2015-30309.pdf (govinfo.gov)

41VA41 / 87 FR 10283 – Veterans and Dependents National Cemetery Gravesite Reservation Records-VA - 2022-03795.pdf (govinfo.gov)

58VA21/22/28 / 86 FR 61858 – Compensation, Pension Education and Vocational Rehabilitation and Employment Records-VA - 2021-24372.pdf (govinfo.gov)

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