

<u>Welcome to the PIA for FY 2012!</u>		
Congress passed the E-Government Act of 2002 to encourage the use of Web-based Internet applications or other information technology by Government agencies, with the intention of enhancing access to government information and services and increasing the effectiveness, efficiency, and quality of government operations.		<u>Macros Must Be Enabled To Use Full Functionality For This Form Template!</u>
		Microsoft Office 2003: To enable macros, go to: 1) Tools > Macros > Security - Set to Medium; 2) Click OK; 3) Close the file and when reopening click on <u>Enable Macros at the prompt</u> . Or 1) When file opens click on <u>Enable Macros at the prompt</u> .
To combat public concerns regarding the disclosure of private information, the E-Government Act mandated various measures, including the requirement that Federal agencies conduct a Privacy Impact Assessment (PIA) for projects with information technology systems that collect, maintain, and/or disseminate "personally identifiable information" of the public. Personally identifiable information, or "personal information," is information that may be used to identify a specific person.		Microsoft Office 2007: To enable macros, go to: 1) Office Button > Prepare > Excel Options > Trust Center > Trust Center Settings > Macro Settings > Enable All Macros; 2) Click OK
		Final Signatures
The Privacy Act and VA policy require that personally identifiable information only be used for the purpose(s) for which it was collected, unless consent (opt-in) is granted. Individuals must be provided an opportunity to provide consent for any secondary use of information, such as use of collected information for marketing.		Final signatures are digitally signed or wet signatures on a case by case basis. All signatures should be done when all modifications have been approved by the VA Privacy Service and the reviewer has indicated that the signature is all that is necessary to obtain approval.
		Privacy Impact Assessment Uploaded into SMART
Directions: VA 6508 is the directive which outlines the PIA requirement for every System/Application/Program. If you find that you can't click on checkboxes, make sure that you are: 1) Not in "design mode" and 2) you have enabled macros.		All PIA Validation Letters should be mailed to Christina.Pettit@va.gov to receive full credit for submission.
INTERNAL WEBSITE : http://vawww.privacy.va.gov/PIA.asp EXTERNAL WEBSITE : http://www.privacy.va.gov/PRIVACY/Privacy_Impact_Assessment.asp		Various Privacy Data Websites: SORNs : http://www.rms.oit.va.gov/SOR_Records.asp Directive Itself (6508): http://www.va.gov/vapubs/viewPublication.asp?Pub_ID=414&FTYPE=2 Schedule FY 2012 : http://www.privacy.va.gov/PRIVACY/Privacy_Impact_Assessment.asp
Roles and Responsibilities:		
Roles and responsibilities for the specific process are clearly defined for all levels of staff in the VA Directive 6508 referenced in the procedure section of this document.		
a. Privacy Officer is responsible for the overall coordination and review of the PIA to ensure compliance with VA Directive 6508		
b. Records Officer is responsible for supplying records retention and deletion schedules		
c. Information Technology (IT) staff responsible for the privacy of the system data will perform a PIA in accordance with VA Directive 6508 and to immediately report all anomalies to the Privacy Service and appropriate management chain.		
d. Information Security Officer (ISO) is responsible for assisting the Privacy Officer and providing information regarding security controls.		
e. Chief Information Officer (CIO) is responsible for ensuring that the systems under his or her jurisdiction undergo a PIA. This responsibility includes identifying the IT systems; coordinating with the Privacy Officer, Information Security Officer, and others who have concerns about privacy and security issues; and reviewing and approving the PIA before submission to the Privacy Service.		
Definition of PII (Personally Identifiable Information)		
Personally Identifiable Information (PII) is —any information about an individual maintained by an agency, including (1) any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; and (2) any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.		
Examples of PII include, but are not limited to:		
• Personal identification number, such as social security number (SSN), passport number, driver's license number, taxpayer identification number, or financial account or credit card number		
• Address information, such as street address or email address		
• Personal characteristics, including photographic image (especially of face or other identifying characteristic), fingerprints, handwriting, or other biometric data (e.g., retina scan, voice signature, facial geometry)		
• Information about an individual that is linked or linkable to one of the above (e.g., date of birth, place of birth, race, religion, weight, activities, geographical indicators, employment information, medical information, education information, financial information).		
Organizations should minimize the use, collection, and retention of PII to what is strictly necessary to accomplish their business purpose and mission.		
A "routine use" is a Privacy Act discretionary authority published in the Federal Register that permits VA to disclose information or records from a Privacy Act-protected record without the patient's prior signed authorization. A "routine use" permits the:		
(1) Release of PHI only when disclosure is also authorized by other applicable legal authorities, including 45 CFR Parts 160 and 164;		
(2) Release of drug or alcohol abuse, HIV, or sickle cell anemia medical information only when the disclosure is also authorized by 38 U.S.C. 7332.		

(FY 2012) PIA: System Information		*Green Highlight = Must Answer Question		*Yellow Highlight = Required to Sign PIA	
Program or System Name (as shown in SMART):		MINOR APPLICATIONS > HRM > ORM > Complaint Automated Tracking System (CATS)			
OMB Unique System / Application / Program Identifier (AKA: UPID #):					
Description of System/ Application/ Program : "must match what is stated in System Security Plan (SSP)"		CATS is a web-based solution that enables Equal Employment Opportunity (EEO) case workers to: 1) capture EEO-related documents electronically and manage them; 2) create electronic folders; 3) manager folders, including their documents, records, and metadata; 4) redact sensitive information; 5) search for and retrieve records; 6) access an easy-to-use electronic document library; 7) control access to folders and records; 8) maintain an auditable track of			
Facility or Program Office Name:		Office of Resolution Management (ORM)			
Title:		Name:		Phone:	
Privacy Officer:		Nigel Collie		202-461-0227	
Information Security Officer:		Dimitri M. Brown		202-461-5261	
System Owner/Delegate:		Kevin T. Thomas		202-461-0214	
Chief Information Officer:		Celeste Matthews		(202) 461-5363	
Information Owner:		Kevin T. Thomas		202-461-0214	
Other Titles:					
Person Completing Document:		Nigel Collie		202-461-0227	
Other Titles:					
Date of Last Full Approved PIA by VACO Privacy Services: (MM/YYYY)				10/2008	
What specific legal authorities authorize this program or system:		29 CF.R. 1614 Federal Sector regulations			
What is the expected number of individuals that will have their PII stored in this system:		10000			
Identify what stage the System / Application / Program is at:		Operations/Maintenance			
The approximate date (MM/YYYY) the system will be operational (if in the Design or Development stage), or the approximate number of years the system/application/program has been in operation.		System went into operation February 2007			
Is there an authorized change control process which documents any changes to existing applications or systems?		<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A : First PIA			
If No, (Explain on Tab 8)					
Is there a contingency plan in place to process information when the system is down?		<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A : First PIA			
Has a PIA been completed within the last three years?		<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> N/A : First PIA			
FISMA QUESTIONS					
1. Is this a new system?		<input type="radio"/> Yes <input checked="" type="radio"/> No			
2. Does this system contain Federal information in identifiable form?		<input checked="" type="radio"/> Yes <input type="radio"/> No			
3. Does the system include information on the public?		<input type="radio"/> Yes <input checked="" type="radio"/> No			
4. Is there a Privacy Impact Assessment (PIA) that covers this system?		<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> National Security System under 40 U.S.C. 11103, a PIA is not required for this system			
5. What is the System of Records Notice (SORN) for this system?		<input checked="" type="radio"/> Yes <input type="radio"/> No			
6. What is the System of Records Notice (SORN) for this system?					
7. Has this SORN been reviewed or updated within the last three years?					
Date of Report (MM/YYYY):		1-Jan-12			
Any check mark in the boxes below will require a full PIA. Please continue to the next TAB and complete the remaining questions.					
If there is no Personally Identifiable Information on your system, please complete TAB 2 & TAB 12. (See Comment for Definition of PII)					
<input type="checkbox"/> Have any changes been made to the system since the last PIA?					
<input checked="" type="checkbox"/> Is this a PIV system/application/program collecting PII data from Federal employees, contractors, or others performing work for the VA?					
<input checked="" type="checkbox"/> Will this system/application/program retrieve information on the basis of name, unique identifier, symbol or other PII data?					
<input checked="" type="checkbox"/> Does this system/application/program collect, store, or disseminate PII/PHI data?					
<input type="checkbox"/> Does this system/application/program collect, store or disseminate the SSN?					
Directions					

(FY 2012) PIA: System of Records

*Green Highlight = Must Answer Question

- 1. Is a SORN (System of Records Notice) Required?
- 2. Is there a SORN already in place?

<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Not Sure
<input checked="" type="radio"/> Yes	<input type="radio"/> No	

***If Yes, select all of the appropriate SORN number(s):
***If Not Sure, continue to question 3

***Click to add. Delete SORN by highlighting SORN and comma if included and press the Delete key or place focus on area to delete all SORNs.

LIST OF SORN NUMBER(S) :

EEOC/GOVT-1

For each applicable System(s) of Records, list:

- 3. If records are retrieved using any of the following entities, A SORN will be required (Please check all that apply)

<input type="checkbox"/> Full Name
<input type="checkbox"/> Maiden Name
<input type="checkbox"/> Mother's Maiden Name
<input type="checkbox"/> Alias
<input type="checkbox"/> Social Security Number
<input type="checkbox"/> Passport Number
<input type="checkbox"/> Driver's License Number
<input type="checkbox"/> Taxpayer Identification Number
<input type="checkbox"/> Financial Account Number
<input type="checkbox"/> Credit Card Number
<input type="checkbox"/> Street Address
<input type="checkbox"/> Email Address
<input type="checkbox"/> Photographic Image
<input type="checkbox"/> Fingerprints
<input type="checkbox"/> Handwriting
<input type="checkbox"/> Other Biometric Data
<input type="checkbox"/> Other (Explain on Tab 8)

- 4. Based on Question 3, is a SORN required?

<input checked="" type="radio"/> Yes	<input type="radio"/> No
<input checked="" type="radio"/> Yes	<input type="radio"/> No

***If Yes, has the process begun to obtain/acquire a SORN

Location where the specific applicable System of Records Notice may be accessed:

http://www.rms.oit.va.gov/SOR_Records.asp

(FY 2012) PIA: Data Collection And Storage *Green Highlight = Must Answer Question

Please fill in each column for the data types selected.

Data Type	Collection Method	What are the subjects told about the intended use of their information?	How is this message conveyed to them?	How is a privacy notice provided?
Veteran or Primary Subject's Personal Contact Information (name, address, telephone, etc)	Paper	EEO complaint form (4939), memos, affidavits, letters and other documents pertinent to the EEO complaint.	verbal and written	verbal and written
Family Relation (spouse, children, parents, grandparents, etc)	N/A			
Service Information	N/A			
Medical Information	N/A			
Criminal Record Information	ALL	Criminal records are not applicable		
Guardian Information	N/A			
Education Information	N/A			
Benefit Information	N/A			
Other (Explain on Tab 8)	Web Data Storage Devise	Any information that is pertinent to the EEO complaint		

Data Type	Storage Method	Source (If requested, identify the specific file, entity and/or name of agency)	Is data collection Mandatory or Voluntary?
Veteran or Primary Subject's Personal Contact Information (name, address, telephone, etc)	<input type="radio"/> Yes <input checked="" type="radio"/> No	Other (Explain)	<input type="radio"/> Mandatory <input checked="" type="radio"/> Voluntary
Family Relation (spouse, children, parents, grandparents, etc)	<input type="radio"/> Yes <input checked="" type="radio"/> No		<input checked="" type="radio"/> Mandatory <input type="radio"/> Voluntary
Service Information	<input type="radio"/> Yes <input checked="" type="radio"/> No		<input checked="" type="radio"/> Mandatory <input type="radio"/> Voluntary
Medical Information	<input type="radio"/> Yes <input checked="" type="radio"/> No		<input checked="" type="radio"/> Mandatory <input type="radio"/> Voluntary
Criminal Record Information	<input type="radio"/> Yes <input checked="" type="radio"/> No		<input checked="" type="radio"/> Mandatory <input type="radio"/> Voluntary
Guardian Information	<input type="radio"/> Yes <input checked="" type="radio"/> No		<input checked="" type="radio"/> Mandatory <input type="radio"/> Voluntary
Education Information	<input type="radio"/> Yes <input checked="" type="radio"/> No		<input checked="" type="radio"/> Mandatory <input type="radio"/> Voluntary
Benefit Information	<input type="radio"/> Yes <input checked="" type="radio"/> No		<input checked="" type="radio"/> Mandatory <input type="radio"/> Voluntary
Other (Explain on Tab 8)	<input type="radio"/> Yes <input checked="" type="radio"/> No		<input checked="" type="radio"/> Mandatory <input type="radio"/> Voluntary

	(Please Select Yes/No)
Proximity and Timing: Is the privacy notice provided at the time of data collection?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Purpose: Does the privacy notice describe the principal purpose(s) for which the information will be used?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Authority: Does the privacy notice specify the effects of providing information on a voluntary basis?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Disclosures: Does the privacy notice specify routine use(s) that may be made of the information?	<input checked="" type="radio"/> Yes <input type="radio"/> No
routine use(s)	

(FY 2012) PIA: Data Sharing
 *Green Highlight = Must Answer Question

** Any connection external to VA requires an ISA/MOU per VA 6500. This section below must be consistent with your System Security Plan Interconnection Security Agreement section.

Organization	Name of Agency/Organization	Do they access this system?	Identify the type of Data Sharing	Is PII or PHI Shared?	What is the procedure you reference for the release of information?
Internal Sharing: VA Organization	kAll ORM Field Office Staff, ORM Office of Policy and Compliance, and all VA EEO Program Managers	<input checked="" type="radio"/> Yes <input type="radio"/> No	The Administrations and Staff offices EEO Program Mangers have the ability to generate reports on certain data fields in the system. The office of Employment Discrimination Complaint Adjudication (OEDCA) gets hard copy files of the data	<input checked="" type="radio"/> Yes <input type="radio"/> No	Rules of Behavior for CATS
Other Veteran Organization		<input type="radio"/> Yes <input checked="" type="radio"/> No		<input type="radio"/> Yes <input checked="" type="radio"/> No	
Other Federal Government Agency	Equal Employment Opportunity Commission (EEOC)	<input type="radio"/> Yes <input checked="" type="radio"/> No	If a complainant requests a hearing of their case before EEOC, the EEOC District Offices will receive hard copies of the file, except for the Houston and San Antonio Office, which receive both electronic and hard copies. Copies of portions or all of the files are sent to the Main Office of the EEOC in Washington, DC if the complainant appeals a dismissal of the case or appeals the Final Agency Decision	<input checked="" type="radio"/> Yes <input type="radio"/> No	C.F.R. 1614
State Government Agency		<input type="radio"/> Yes <input checked="" type="radio"/> No		<input type="radio"/> Yes <input checked="" type="radio"/> No	
Local Government Agency		<input type="radio"/> Yes <input checked="" type="radio"/> No		<input type="radio"/> Yes <input checked="" type="radio"/> No	
Research Entity		<input type="radio"/> Yes <input checked="" type="radio"/> No		<input type="radio"/> Yes <input checked="" type="radio"/> No	
<input checked="" type="checkbox"/> Other Project/ System (Explain on Tab 8)					

(FY 2012) PIA: Access to Records

Does the system gather information from another system? Yes No

Please enter the name of the system: _____

(FY 2012) PIA: Secondary Use

Will PII data be included with any secondary use request? Yes No

Check all that apply:

<input type="checkbox"/> Mental Health	<input type="checkbox"/> HIV	<input type="checkbox"/> Drug/Alcohol Counseling
<input type="checkbox"/> Sickle Cell	<input type="checkbox"/> Other (Explain on Tab 8)	<input type="checkbox"/> Research

(FY 2012) PIA: Records Management		*Green Highlight = Must Answer Question	
Does this PIA form contain any sensitive information that could cause harm to the Department of Veterans Affairs or any party if disclosed to the public?			
<input type="radio"/> Yes (Explain on Tab 8) <input checked="" type="radio"/> No			
Is the data collected to only what is necessary to provide requested service?			
<input checked="" type="radio"/> Yes <input type="radio"/> No (Explain on Tab 8)			
Has the data provided been verified as complete?			
<input type="checkbox"/> Veteran Verified <input type="checkbox"/> Received From Database <input checked="" type="checkbox"/> Verification Unknown			
(FY 2012) PIA: Retention & Disposal			
What is the data retention period?		RCS 10-1 link for VHA:	www.va.gov/vhapublications/rcs10/rcs10-1.pdf
Currently, electronic records of EEO case files in this data base are kept indefinitely		RCS VB-1, Part II Revised for VBA:	www.benefits.va.gov/WARMS/docs/admin20/rcs/part2/part2.pdf
		National Archives and Records Administration:	www.nara.gov
Explain why the information is needed for the indicated retention period?			
Answer: In the event that the case goes to EEOC for hearing or to civil court.			
What are the procedures for eliminating data at the end of the retention period?			
Answer: N/A			
Where are these procedures documented?			
Answer: N/A			
How are data retention procedures enforced?			
Answer: Guidance is issued according to NARA and followed accordingly.			
Has the retention schedule been approved by the National Archives and Records Administration (NARA)			
<input type="radio"/> Yes <input checked="" type="radio"/> No (Explain on Tab 8)			
(FY 2012) PIA: Children's Online Privacy Protection Act (COPPA)			
Will information be collected through the internet from children under age 13?			
<input type="radio"/> Yes (Explain on Tab 8) <input checked="" type="radio"/> No			

(FY 2012) PIA: Security *Green Highlight = Must Answer Question

Is the system/application/program following IT security Requirements and procedures required by federal law and policy to ensure that information is appropriately secured.	<input checked="" type="radio"/> Yes	<input type="radio"/> No (Explain on Tab 8)
Has the system/application/program conducted a risk assessment, identified appropriate security controls to protect against that risk, and implemented those controls..	<input checked="" type="radio"/> Yes	<input type="radio"/> No (Explain on Tab 8)
Is security monitoring conducted annually or as needed to ensure that controls continue to work properly, safeguarding the information?	<input checked="" type="radio"/> Yes	<input type="radio"/> No (Explain on Tab 8)
Is security assessment conducted annually or as needed to ensure that controls continue to work properly, safeguarding the information?	<input checked="" type="radio"/> Yes	<input type="radio"/> No (Explain on Tab 8)
Is adequate physical security in place to protect against unauthorized access?	<input checked="" type="radio"/> Yes	<input type="radio"/> No (Explain on Tab 8)
*Ensure PE 2, PE-3, PE-6, PE-7, PE-8 have been addressed appropriately for your categorization		

Explain what security risks were identified in the security assessment? (Check all that apply)

<input type="checkbox"/> Biological Release	<input type="checkbox"/> Fire	<input type="checkbox"/> Lightning Strike	<input type="checkbox"/> Terrorist
<input type="checkbox"/> Blizzard	<input type="checkbox"/> Flood	<input checked="" type="checkbox"/> Malicious Code	<input type="checkbox"/> Thunderstorm
<input type="checkbox"/> Burglary/Break In	<input type="checkbox"/> Hacker, Cracker	<input checked="" type="checkbox"/> Password Privacy Negligence	<input type="checkbox"/> Tornado
<input type="checkbox"/> Civil Unrest	<input type="checkbox"/> Hail	<input type="checkbox"/> Personnel Unavailable	<input type="checkbox"/> Tsunami
<input type="checkbox"/> Component Failure	<input type="checkbox"/> HAZMAT Release/Spill	<input type="checkbox"/> Power Failure	<input checked="" type="checkbox"/> User Negligence
<input type="checkbox"/> Dam Failure	<input type="checkbox"/> Human Health Emergency	<input type="checkbox"/> Sabotage	<input type="checkbox"/> User Sabotage
<input type="checkbox"/> Dust/Debris	<input type="checkbox"/> Hurricane	<input checked="" type="checkbox"/> System Intrusion, Break-Ins	<input type="checkbox"/> Vibration
<input type="checkbox"/> Earthquake	<input type="checkbox"/> HVAC Failure	<input type="checkbox"/> System Misconfiguration	<input type="checkbox"/> Volcano
<input type="checkbox"/> Extreme Cold	<input type="checkbox"/> Indoor Humidity	<input checked="" type="checkbox"/> System Penetration	<input type="checkbox"/> Water Damage
<input type="checkbox"/> Extreme Heat	<input type="checkbox"/> Landslide	<input type="checkbox"/> System Tampering	<input type="checkbox"/> Winter Weather Hazards

***If any other risks identified, explain in Tab 8**

Based upon the risks identified above, Explain what security controls are being used to mitigate these risks. (Check all that apply)

<input checked="" type="checkbox"/> Access Control	<input checked="" type="checkbox"/> Configuration Management	<input type="checkbox"/> Media Protection	<input type="checkbox"/> System and Services Acquisition
<input type="checkbox"/> Audit and Accountability	<input checked="" type="checkbox"/> Contingency Planning	<input type="checkbox"/> Personnel Security	<input type="checkbox"/> System and Communication Protection
<input checked="" type="checkbox"/> Awareness and Training	<input type="checkbox"/> Identification and Authentication	<input type="checkbox"/> Physical and Environmental Protection	<input type="checkbox"/> System and Information Integrity
<input type="checkbox"/> Security Assessment and Authorization	<input checked="" type="checkbox"/> Incident Response	<input checked="" type="checkbox"/> Risk Assessment	<input type="checkbox"/> Planning <input checked="" type="checkbox"/> Maintenance

Answer: (Other Controls) Explain on Tab 8

PIA: PIA Assessment

Based upon NIST 800-60, volume II; List the Information data types chosen as a basis for your FIPS 199 System Categorization.

Answer:	Personal Contact, Job description, Race, Age, DOB and other pertinent info related to an EEO case.
<p>Availability Assessment: If the data being collected is not available to process for any reason what will the potential impact be upon the system or organization? (Choose One)</p>	<input type="checkbox"/> The potential impact is high if the loss of availability could be expected to have a severe or catastrophic adverse effect on operations, assets or individuals. <input type="checkbox"/> The potential impact is moderate if the loss of availability could be expected to have a serious adverse effect on operations, assets or individuals. <input checked="" type="checkbox"/> The potential impact is low if the loss of availability could be expected to have a limited adverse effect on operations, assets or individuals.
<p>Integrity Assessment: If the data being collected has been corrupted for any reason what will the potential impact be upon the system or organization? (Choose One)</p>	<input type="checkbox"/> The potential impact is high if the loss of integrity could be expected to have a severe or catastrophic adverse effect on operations, assets or individuals. <input type="checkbox"/> The potential impact is moderate if the loss of integrity could be expected to have a serious adverse effect on operations, assets or individuals. <input checked="" type="checkbox"/> The potential impact is low if the loss of integrity could be expected to have a limited adverse effect on operations, assets or individuals.
<p>Confidentiality Assessment: If the data being collected has been shared with unauthorized individuals what will the potential impact be upon the system or organization? (Choose One)</p>	<input type="checkbox"/> The potential impact is high if the loss of confidentiality could be expected to have a severe or catastrophic adverse effect on operations, assets or individuals. <input type="checkbox"/> The potential impact is moderate if the loss of confidentiality could be expected to have a serious adverse effect on operations, assets or individuals. <input checked="" type="checkbox"/> The potential impact is low if the loss of confidentiality could be expected to have a limited adverse effect on operations, assets or individuals.

The controls are being considered for the project based on the selections from the previous assessments?
 The ultimate objective is to conduct the day-to-day operations of the VA and to accomplish our stated mission with what the Office of Management and Budget (OMB) Circular A-130 defines as adequate security including the magnitude of harm to individuals, the VA, or its assets resulting from the unauthorized access, use, disclosure, disruption, modification, or destruction of information. Many of the security controls such as contingency planning controls, incident response controls, security training and awareness controls, personnel security controls, physical and environmental protection controls, and intrusion detection controls are common security controls used throughout the VA. Our overall security controls follow NIST SP800-53 low impact defined set of controls.

(FY 2012) PIA: Additional Comments

Add any additional comments or information that may have been left out for any question. Please indicate the question you are responding to and then add your comments.

Tab 3 - SORN: http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=2002_register&docid=fr30jy02-70.pdf

Tab 4, Cell 29: Information collected is voluntary and comes from complainant.

Tab 5, Line 16: DATA SHARING Other Project System: ADR Tracker - they access the system - Informal EEO cases entered into CATS are populated in ADR Tracker with name when anonymity is waived and date of initial contact. Also, when Alternative Dispute Resolution (ADR) is offered or refused and the aggrieved party accepts or declines the offer, that information (date) is recorded in ADR Tracker - PII is shared - Procedure reference for release of information is "Rules of Behavior for ADR Tracker."

Tab 6, Line 32: PIA: RETENTION AND DISPOSAL -- QUESTION: Has the retention schedule been approved by the National Archives and Records Administration (NARA)? NARA regulations are silent on this procedure.

(FY 2012) PIA: VBA Minor Applications

Which of these are sub-components of your system?		
Access Manager	Automated Sales Reporting (ASR)	Automated Folder Processing System (AFPS)
Actuarial	BCMA Contingency Machines	Automated Medical Information Exchange II (AIME II)
Agent Orange		Automated Medical Information System (AMIS)290
Appraisal System	Centralized Property Tracking System	Automated Standardized Performance Elements Nationwide (ASPEN)
ASSISTS	Common Security User Manager (CSUM)	Broome Closet
Awards	Compensation and Pension (C&P)	Centralized Accounts Receivable System (CARS)
Baker System	Control of Veterans Records (COVERS)	Committee on Waivers and Compromises (COWC)
Bbraun (CP Hemo)	Courseware Delivery System (CDS)	Compensation and Pension (C&P) Record Interchange (CAPRI)
	Dental Records Manager	Compensation & Pension Training Website
	Education Training Website	
C&P Payment System	Electronic Appraisal System	Distribution of Operational Resources (DOOR)
C&P Training Website	Electronic Card System (ECS)	Educational Assistance for Members of the Selected Reserve Program CH 1606
CONDO PUD Builder	Electronic Payroll Deduction (EPD)	Electronic Performance Support System (EPSS)
	Eligibility Verification Report (EVR)	Enterprise Wireless Messaging System (Blackberry)
	Fiduciary Beneficiary System (FBS)	Financial Management Information System (FMI)
	Fiduciary STAR Case Review	Hearing Officer Letters and Reports System (HOLAR)
EndoSoft	Financial and Accounting System (FAS)	Inquiry Routing Information System (IRIS)
FOCAS	Insurance Unclaimed Liabilities	Modern Awards Process Development (MAP-D)
Inforce	Inventory Management System (IMS)	
INS - BIRLS	Interactive Voce Response (IVR)	Personal Computer Generated Letters (PCGL)
Insurance Online	LGY Centralized Fax System	Personnel Information Exchange System (PIES)
Insurance Self Service	Loan Service and Claims	Post Vietnam Era educational Program (VEAP) CH 32
LGY Home Loans	Loan Guaranty Training Website	Purchase Order Management System (POMS)
LGY Processing		Reinstatement Entitlement Program for Survivors (REAPS)
MES	Mental Health Assistant	Reserve Educational Assistance Program CH 1607
Mobilization	National Silent Monitoring (NSM)	RightFax
Montgomery GI Bill	Powerscribe Dictation System	Service Member Records Tracking System
MUSE	Rating Board Automation 2000 (RBA2000)	Survivors and Dependents Education Assistance CH 35
Omicell	Records Locator System	Systematic Technical Accuracy Review (STAR)
Priv Plus	Remittance Processing System	Training and Performance Support System (TPSS)
RAI/MDS	Review of Quality (ROQ)	VA Online Certification of Enrollment (VA-ONCE)
Right Now Web	Search Participant Profile (SPP)	VA Reserve Educational Assistance Program
SAHSHA	Spinal Bifida Program Ch 18	
Script Pro	State Benefits Reference System	Veterans Assistance Discharge System (VADS)
SHARE	State of Case/Supplemental (SOC/SSOC)	Veterans Exam Request Info System (VERIS)
SHARE	Telecare Record Manager	Veterans Insurance Claims Trancking and Response System (VICTARS)
Sidexis	VBA Enterprise Messaging System	Veterans Service Representative (VSR) Advisor
Synquest		Vocational Rehabilitation & Employment (VR&E) CH 31
VBA Training Academy	Web Electronic Lender Identification	Web Automated Folder Processing System (WAFPS)
Veterans Canteen Web		Web Automated Reference Material System (WARMS)
VETSNET Housekeeping		Web Automated Verification of Enrollment
VR&E Training Website		Web-Enabled Approval Management System (WEAMS)
Web LGY		Web Service Medical Records (WebSMR)
		Work Study Management System (WSMS)
Explain any minor application that are associated with your installation that does not appear in the list above. Please provide name, brief description, and any comments you may wish to include.		
Name		
Description		
Comments		
Is PII collected by this min or application?		
Does this minor application store PII?		
If yes, where?		
Who has access to this data?		
Name		
Description		
Comments		
Is PII collected by this min or application?		
Does this minor application store PII?		
If yes, where?		
Who has access to this data?		
Name		
Description		
Comments		
Is PII collected by this min or application?		
Does this minor application store PII?		
If yes, where?		
Who has access to this data?		

(FY 2012) PIA: Minor Applications A-M

Which of these are sub-components of your system?				
1184 Web	Citrix	Electronic Signature	Imaging	
A4P	Clinical Case Registries	Embedded Fragment Registry	Incentive Awards	
ACCu Care	Clinical Data Repository/Health Data Repository	ENCORE 2	Incident Reporting	
ACCU Check	Clinical Info Resource Network	ENDSOFT	Income Verification Match	
ACCU Med	Clinical Monitoring System	Engineering	Incomplete Records Tracking	
Adobe Acrobat	Clinical Notes Templates	Enrollment Application System	Inpatient Medications	
ADP Planning (PlanMan)	Clinical Procedures	Enterprise Terminology Server & VHA Enterprise Terminology Services	Intake/ Output	
ADT	Clinical Reminders	ePROMISE	Integrated Billing	
Adverse Reaction Tracking	Clippership	Equipment/ Turn-in Request	Integrated Patient Funds	
Agent Cashier	Combat Veteran Outreach	Event Capture	Interim Mangement Support	
Air Fortress	Committee on Waiver and Compromises	Event Driven Reporting	Inventory Management System	
ASISTS	Consult/ Request Tracking	Extensible Editor	Kernal	
Authorization/ Subscription	Controlled Correspondence	External Peer Review	Kids	
Auto Instrument	Controlled Substances	EYECAP	KOWA	
Auto Replenishment/ Ward Stock	CP&E	Fee Based Claims System	Lab Service	
AUTOCAD	CPRS	Fee Basis	Laboratory Electronic Data Interchange	
Automated Access Request	CPT/ HCPCS Codes	Financial and Accounting System (FAS)	Letterman	
Automated Info Collection Sys	Credentials Tracking	Financial Management System (FMS)	Lexicon Utility	
Automated Lab Instruments	Credit Card Authentication	Functional Independence	Library	
Automated Med Info Exchange	Data Innovations	Gen. Med. Rec. - I/O	List Manager	
Automated Sales Reporting	DELIVEREX	Gen. Med. Rec. - Vitals	Lynx Duress Alarm	
AutoMed	Dental	Gen. Med.Rec. - Generator	Mailman	
Bad Code Med Admin	DICTATION-Power Scribe	GENDEX	MCCR National Database	
Barcode Medication Administration Contingency Plan (BCU)	Dietetics	Generic Code Sheet	Meadows (MDWS)	
BCMA Contingency Workstations	Discharge Summary	Genesys	Medicine	
BDN 301	DRG Grouper	Get Well Networks	Mental Health	
Beneficiary Travel	DRM Plus	GMED	MHTP	
Big Fix	Drug Accountability	GRECC	MICOM	
CA Verified Components - DSSI	DSIT	Health Data and Informatics	Microsoft Exchange E-mail System	
Capacity Management - RUM	DSS Extracts	Health Level Seven	Military/Vet Eye Injury Registry	
Capacity Management Tools	DSS Quadramed	Health Summary	Minimal Patient Dataset	
CAPRI	EDS Whiteboard (AVJED)	Health Summary Contingency	Missing Patient Reg (Original) A4EL	
Cardiff Teleform	Education Tracking	HINQ	Mumps AudioFAX	
Cardiology Systems (stand alone servers from the network)	EEO Complaint Tracking	Hospital Based Home Care	MyHealthEVet	
Care Management	EKG System	ICB		
CareTracker	Electronic Card System (ECD)	ICR - Immunology Case Registry		
CHECKPOINT	Electronic Payroll Deduction (EPD)	IFCAP		
Explain any minor application that are associated with your installation that does not appear in the list above. Please provide name, brief description, and any comments you may wish to include.				
Name				
Description				
Comments				
Is PII collected by this minor application?				
Does this minor application store PII?				
If yes, where?				
Who has access to this data?				
Name				
Description				
Comments				
Is PII collected by this minor application?				
Does this minor application store PII?				
If yes, where?				
Who has access to this data?				
Name				
Description				
Comments				
Is PII collected by this minor application?				
Does this minor application store PII?				
If yes, where?				
Who has access to this data?				

(FY 2012) PIA: VISTA Minor Applications N-Z

Which of these are sub-components of your system?			
National Cemetery Association	Pharmacy Data Management	Scanning Exam and Evaluation System	VBECS
National Drug File	Pharmacy National Database	Scheduling	VDEF
National Laboratory Test	Pharmacy Prescription Practice	Security Suite Utility Pack	Vendor - Document Storage Sys
NDBI	PICIS OR	Sentillion	Veterans Canteen Web
Network Health Exchange	Police & Security	Shift Change Handoff Tool	Veterans Information Solution
NOAHLINK	Problem List	ShoreTel	VHAHUNAPP1
NOIS	Progress Notes	Social Work	VHAHUNFPC1
Nursing Service	Prosthetics	Stellant	VHS & RA Tracking System
Occurrence Screen	Purchase Order Management System	Stentor	Visit Tracking
Omniceil	Pyxis	Surgery	VISTA RAD
Oncology	Q-Matic	Survey Generator	VISTA RO
Onvicord (VLOG)	QMSI Prescription Processing	Telecare Record Manager	VistALink
Optifill	Quality Assurance Integration	Temp Trak	VistALink Security
Order Entry/ Results Reporting	Quality Improvement Checklist	Text Integration Utilities	Visual Impairment Service Team ANRV
Outpatient Pharmacy	QUASER	Tickler Database	Vitria BusinessWare
P2000 ROBOT	Radiology/ Nuclear Medicine	Toolkit	VIXS
PACS database	RAFT	TopCon	Voluntary Timekeeping
Patch Module	RALS	TraceMaster	Voluntary Timekeeping National
Patient Data Exchange	Record Tracking	Tracking Continuing Education	WEB HINQ
Patient Feedback	Registration	Traumatic Brain Injury	Whiteboard
Patient Representative	Release of Information - DSSI	Unwinder	Women's Health
PCE Patient Care Encounter	Remote Order/ Entry System	Utility Management Rollup	Workload and Overtime
Personal Computer Generated Letters	RPC Broker	Utilization Review	
Pharmacy Benefits Mangement	Run Time Library	VA Conference Room Registration	
	SAGG	VA Fileman	
	SAN	VAMedSafe	

Explain any minor application that are associated with your installation that does not appear in the list above. Please provide name, brief description, and any comments you may wish to include.

Name	
Description	
Comments	
Is PII collected by this minor application?	
Does this minor application store PII?	
If yes, where?	
Who has access to this data?	
Name	
Description	
Comments	
Is PII collected by this minor application?	
Does this minor application store PII?	
If yes, where?	
Who has access to this data?	
Name	
Description	
Comments	
Is PII collected by this minor application?	
Does this minor application store PII?	
If yes, where?	
Who has access to this data?	

(FY 2012) PIA: Final Signatures		*Green Highlight = Must Answer Question	
Facility Name:	Office of Resolution Management (ORM)		
Title:	Name:	Phone:	Email:
Privacy Officer:	Nigel Collie	202-461-0227	nigel.collie@va.gov
Digital Signature Block			
Information Security Officer:	Dimitri M. Brown	202-461-5261	Dimitri.Brown@va.gov
Digital Signature Block			
System Owner/Delegate:	Kevin T. Thomas	202-461-0214	Kevin.Thomas@va.gov
Digital Signature Block			
Chief Information Officer:	Celeste Matthews	(202) 461-5363	celeste.matthews@va.gov
Digital Signature Block			
Other Titles:	0	0	0
Digital Signature Block			
Date of Report:	1-Jan-12		
OMB Unique Project Identifier	0		
Project Name	MINOR APPLICATIONS > HRM > ORM > Complaint Automated Tracking System (CATS)		
<p>The Signature Process:</p> <ul style="list-style-type: none"> • Complete the PIA form. • Name the PIA Excel FORM ["FY12-Region # - Facility Name - Facility # -Date(mmddyyyy).xls"] <ul style="list-style-type: none"> • Example: "FY12-Region3-Lexington VAMC-596-10302008.xls" • Submit the completed PIA Excel form to SMART Database. • Fix errors the reviewers sent back, rename the file and submit to SMART Database <ul style="list-style-type: none"> • If no errors, convert form into PDF with Nuance PDF Professional. • Name the PIA PDF form ["FY12-Region #-Facility Name- Facility # -Date(mmddyyyy).xls"] <ul style="list-style-type: none"> • Obtain digital signatures on the "Final Signatures tab" • Submit signed PIA PDF form to the SMART Database. 			