

**06.3 HHS PIA Summary for Posting (Form) / CMS CM 2020 (CWF) [System]
PIA SUMMARY AND APPROVAL COMBINED**

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: na

6. Other Identifying Number(s): na

7. System Name (Align with system Item name): CMS CMM 2020 (CWF)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The Medicare Claims Processing System, which includes 2020 (CWF), is a collection of systems hosted in Medicare contractors' data centers to process Medicare claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Information is shared to verify patient data between Medicare Supplemental Insurers, if necessary, as well as entitlement and accuracy of payment

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records,

employment status and/or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANSI X12 837) for the purpose of processing and paying claims. The information contains IIF. The submission of the personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their IIF is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. Medicare Claims Processing Standard Systems maintainers use security software and methods to provide “least privilege access.” They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. Sometimes, in order to fix programmatic problems, programmers are granted temporary access in order to fix and ensure that errors are fixed. The temporary access may be granted for a day or other short periods of time that can be controlled through security software. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Automated Plan Payment System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? Yes

If this is an existing PIA, please provide a reason for revision:

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-4001

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Automated Plan Payment System – APPS

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Marla Kilbourne, 410-786-7622

10. Provide an overview of the system: APPS - PROCESSES AND MAINTAINS CONTRACT-LEVEL PAYMENT INFORMATION FOR MEDICARE ADVANTAGE AND PRESCRIPTION DRUG PLANS and DEMONSTRATIONS.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
APPS – CMS Office of Financial Management (OFM) Contract payment to provide payment to plans.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: APPS – Information collected is banking data which includes Plan Payment Banking Information and EIN Numbers.

This data is used to process PART C and PART D Payment Premium dollars at the contract level. The data does include PII info. The IIF information is required from the plans to complete payments.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) APPS – NONE – N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: RACF controls are in place per the GSS and EUA systems as far as technical and administrative electronic access to records, and the data center controls physical access. The banking data is stored in the APPS database and can only be accessed by DPO staff with the appropriate user role.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM CM - Cahaba Government Benefit Administrators [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CM – Cahaba Government Benefit Administrators (CM-Cahaba)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The CM – Cahaba Government Benefit Administrators (CM – Cahaba) system is a collection of systems and operational processes hosted in the Medicare Fee-For-Service Claims Administration data centers and operational locations to process and pay Medicare Claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): PII is shared with patients, business partners/contacts, and vendors/suppliers/contractors to verify receipt of service and properly pay claims.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANS X12 837) for the purpose of processing and paying claims. The information contains PII. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their PII is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. CM - Cahaba maintainers use security software and methods to provide "least privilege access." They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name:

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM CM - First Coast Service Options [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Significant Merging

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CM – First Coast Service Options (CM-FCSO)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The CM – First Coast Service Options (CM – FCSO) system is a collection of systems and operational processes hosted in the Medicare Fee-For-Service Claims Administration data centers and operational locations to process and pay Medicare Claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Information is shared to verify patient data between Medicare Supplemental Insurers, if necessary to determine entitlement and accuracy of payment.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANS X12 837) for the purpose of processing and paying claims. The information contains PII. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their PII is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: PII will be retained and destroyed per existing agency and federal government guidelines, policies and procedures. Physical controls include guards, identification badges that can be used to visually determine if the user is allowed access to restricted areas, key cards and cipher locks to access restricted areas, and closed circuit to monitor restricted areas.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM CM - Highmark Medicare Services [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Significant Merging

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CM – Highmark Medical Services (CM-HMS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The CM – Highmark Medicare Services (CM – HMS) system is a collection of systems and operational processes hosted in the Medicare Fee-For-Service Claims Administration data centers and operational locations to process and pay Medicare Claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): PII is shared with patients, business partners/contacts, and vendors/suppliers/contractors to verify receipt of service and properly pay claims.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANS X12 837) for the purpose of processing and paying claims. The information contains PII. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their PII is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. CM - HMS maintainers use security software and methods to provide "least privilege access." They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM CM - National Government Services [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Significant Merging

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): CM – National Government Services (CM-NGS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The CM – National Government Services (CM – NGS) system is a collection of systems and operational processes hosted in the Medicare Fee-For-Service Claims Administration data centers and operational locations to process and pay Medicare Claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Information is shared to verify patient data between Medicare Supplemental Insurers, if necessary to determine entitlement and accuracy of payment.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANS X12 837) for the purpose of processing and paying claims. The information contains PII. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their PII is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. CM - NGS maintainers use security software and methods to provide "least privilege access." They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM CM - National Heritage Insurance Company [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Significant Merging

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): CM – National Heritage Insurance Company (CM-NHIC)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The CM – National Heritage Insurance Company (CM – NHIC) system is a collection of systems and operational processes hosted in the Medicare Fee-For-Service Claims Administration data centers and operational locations to process and pay Medicare Claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Information is shared to verify patient data between Medicare Supplemental Insurers, if necessary to determine entitlement and accuracy of payment.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANS X12 837) for the purpose of processing and paying claims. The information contains PII. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their PII is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. Medicare Claims Processing Standard Systems maintainers use security software and methods to provide "least privilege access." They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. Sometimes, in order to fix programmatic problems, programmers are granted temporary access in order to fix and ensure that errors are fixed. The temporary access may be granted for a day or other short periods of time that can be controlled through security software. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM CM - Noridian Administrative Services [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Significant Merging

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): CM – Noridian Administrative Services (CM-NAS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The CM – Noridian Administrative Services (CM – NAS) system is a collection of systems and operational processes hosted in the Medicare Fee-For-Service Claims Administration data centers and operational locations to process and pay Medicare Claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Information is shared to verify patient data between Medicare Supplemental Insurers, if necessary to determine entitlement and accuracy of payment.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANS X12 837) for the purpose of processing and paying claims. The information contains PII. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their PII is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. CM - NAS maintainers use security software and methods to provide "least privilege access." They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM CM - Palmetto Government Benefit Administrator [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Significant Merging

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CM – Palmetto Government Benefit Administrators (CM-PGBA)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The CM – Palmetto Government Benefit Administrator (CM – PGBA) system is a collection of systems and operational processes hosted in the Medicare Fee-For-Service Claims Administration data centers and operational locations to process and pay Medicare Claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): PII is shared with patients, business partners/contacts, and vendors/suppliers/contractors to verify receipt of service and properly pay claims.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and/or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage status, CMS-1450 (UB92), CMS01500 (ANSI X12 837) for the purpose of processing and paying claims. The information contains PII. The submission of the personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their PII is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. CM - PGBA maintainers use security software and methods to provide "least privilege access." They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM CM - Pinnacle Business Solutions Incorporated [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Significant Merging

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): CM – Pinnacle Business Solutions Incorporated (CM-PBSI)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The CM – Pinnacle Business Solutions Incorporated (CM – PBSI) system is a collection of systems and operational processes hosted in the Medicare Fee-For-Service Claims Administration data centers and operational locations to process and pay Medicare Claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): PII is shared with patients, business partner/contacts, and vendors/supplier/contractors to verify receipt of service and properly pay claims.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANS X12 837) for the purpose of processing and paying claims. The information contains PII. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their PII is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. CM - PBSI maintainers use security software and methods to provide "least privilege access." They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM CM - TrailBlazer Health Enterprises [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Significant Merging

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): CMS CMM Trailerblazer Health Enterprises- J04

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The CM – TrailBlazer Health Enterprises (CM – THE) system is a collection of systems and operational processes hosted in the Medicare Fee-For-Service Claims Administration data centers and operational locations to process and pay Medicare Claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Information is shared to verify patient data between Medicare Supplemental Insurers, if necessary, as well as entitlement and accuracy of payment

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANS X12 837) for the purpose of processing and paying claims. The information contains PII. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their PII is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. CM - THE maintainers use security software and methods to provide "least privilege access." They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM CM - Wisconsin Physician Services [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Significant Merging

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CM – Wisconsin Physician Services (CM – WPS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The CM – Wisconsin Physician Services (CM – WPS) system is a collection of systems and operational processes hosted in the Medicare Fee-For-Service Claims Administration data centers and operational locations to process and pay Medicare Claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Information is shared to verify patient data between Medicare Supplemental Insurers, if necessary to determine entitlement and accuracy of payment.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANS X12 837) for the purpose of processing and paying claims. The information contains PII. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their PII is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. CM - WPS maintainers use security software and methods to provide "least privilege access." They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Contractor Management Information System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): NA

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Contractor Management Information System (CMIS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Brent Bowden, 410-786-8124

10. Provide an overview of the system: The CMIS application receives FFS contractor workload data from the CROWD system on a monthly basis and allows users to generate a variety of reports for administration, oversight and evaluation of the FFS contractors.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
n/a

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: CMIS collects monthly data from the Contractor Reporting of Operational and Workload Data (CROWD), the Medicare

Contractor Process Counts Monitor System (PULSE) and the Contractor Administrative Financial Management System (CAFMI).

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Drug Data Processing System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-4001, 09-70-0500, 09-70-0552, 09-70-0553, 09-70-0557, 09-70-0564

5. OMB Information Collection Approval Number: HPMS: 0938-0763 (PBP/formulary)

0938-0944 (BPT)

0938-0469 (fiscal soundness)

0938-0935 (MA application)

0938-0936 (Part D application)

0938-0992 (Part D reporting requirements)

0938-1000 (Part D audit)

0938-1004 (Part C audit)

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): DDPS – DRUG DATA PROCESSING SYSTEM

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Angela Porter-James

10. Provide an overview of the system: DDPS – This system processes all Medicare covered and non-covered drug events, including non-Medicare drug events for Medicare beneficiaries participating in the Part D programs. The system processes Prescription Drug Event (PDE) transactions and related data as necessary to validate/authenticate Medicare payment of covered drugs made by plans for enrolled Medicare beneficiaries.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass

through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
DDPS – All reporting/data access is restricted to mandated and authorized users of the data with statutory authority as described in the MMA legislation, which includes:

Those necessary to implement, operate, and support the developed system; The CSSC at Palmetto requiring PDE and beneficiary data access;

The MDBG within CBC responsible for benefit implementation, program administration, and program oversight;

The Medicare PIG within OFM responsible for protecting program integrity and detecting waste, fraud, and abuse of the program;

The QIO contracted by OCSQ responsible for clinical quality and evaluation of health care outcome of the benefit; and

The 723 initiative being coordinated by ORDI responsible for developing integrated databases.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: DDPS – The system contains both detailed and summary prescription drug claim information on all Medicare covered and non-covered drug events, including non-Medicare drug events, for Medicare beneficiaries of the Medicare program. This system contains both detailed and summary prescription drug claim data, health insurance claim number, card holder identification number, date of service, gender, and optionally, the date of birth. The system contains provider characteristics, prescriber identification number, assigned provider number (facility, referring/servicing physician), and national drug code. The system contains beneficiary, plan, and supplemental payment amounts. Submission of IIF is mandatory - as a condition of payment, all Part D plans must submit data and information necessary for CMS to carry out payment provisions.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) DDPS – Participation in Part D is voluntary and requires an affirmative election to join. When an individual enrolls in a Part D Plan, as part of the application package, the beneficiary has to sign the Agreement page; thus, MMA Part D enrollment equates beneficiary consent.

Authority for maintenance of this system is given under provisions of the Medicare Prescription Drug, Improvement, and Modernization Act, amending the Social Security Act (the Act) by

adding Part D under Title XVIII (§ 1860D–15(c)(1)(C) and (d)(2), as described in 42 Code of Federal Regulation (CFR) 423.401.

The Privacy Act permits us to disclose information without an individual’s consent if the information is to be used for a purpose that is compatible with the purpose(s) for which the information was collected. Any such disclosure of data is known as a “routine use.”

This system contains Protected Health Information as defined by HHS regulation “Standards for Privacy of Individually Identifiable Health Information” (45 CFR Parts 160 and 164, 65 FR 82462 (Dec. 28, 00), as amended by 66 FR 12434 (Feb. 26, 01)). Disclosures of Protected Health Information authorized by these routine uses may only be made if, and as, permitted or required by the “Standards for Privacy of Individually identifiable Health Information.”

In addition, our policy will be to prohibit release even of non-identifiable information, except pursuant to one of the routine uses, if there is a possibility that an individual can be identified through implicit deduction based on small cell sizes (instances where the patient population is so small that individuals who are familiar with the enrollees could, because of the small size, use this information to deduce the identity of the beneficiary).

In addition, CMS will make disclosure from the proposed system only with consent of the subject individual, or his/her legal representative, or in accordance with an applicable exception provision of the Privacy Act.

CMS, therefore, does not anticipate an unfavorable effect on individual privacy as a result of the disclosure of information relating to individuals.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: DDPS – CMS has safeguards in place for authorized users and monitors such users against excessive or unauthorized use. Personnel having access to the system have been trained in the Privacy Act and information security requirements. Employees who maintain records in this system are instructed not to release data until the intended recipient agrees to implement appropriate management, operational and technical safeguards sufficient to protect the confidentiality, integrity and availability of the information and information systems and to prevent unauthorized access. This system will conform to all applicable Federal laws and regulations and Federal, HHS, and CMS policies and standards as they relate to information security and data privacy. These laws and regulations

include but are not limited to: the Privacy Act of 1974; the Federal Information Security Management Act of 2002; the Computer Fraud and Abuse Act of 1986; the Health Insurance Portability and Accountability Act of 1996; The EGovernment Act of 2002, the Clinger-Cohen Act of 1996; the Medicare Modernization Act of 2003, and the corresponding implementation regulations. OMB Circular A-130, Management of Federal Resources, Appendix III, Security of Federal Automated Information Resources also applies. Federal, HHS, and CMs policies and standards include but are not limited to: all pertinent National Institute of Standards and Technology publications; the HHS Information Systems Program Handbook and the CMS Information Security Handbook.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Durable Medical Equipment Prosthetics, Orthotics and Supplies Bidding System [System]
PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0530

5. OMB Information Collection Approval Number: 0938-1016

6. Other Identifying Number(s): FMIB #8003, Contract #HHSM-500-2008-00060C

7. System Name (Align with system Item name): DMEPOS Bidding System (DBidS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Julianne Mui

10. Provide an overview of the system: The purpose of DBidS is to allow Medicare Fee-for-Service (FFS) DMEPOS suppliers to submit bids for DMEPOS products to the Centers for Medicare & Medicaid Services (CMS) via a web-based system. Suppliers bid on the product categories in the competitive bidding areas using the DBidS application. Bids will be submitted over a 60-day period known as the bid window. Once the 60-day bid window has closed, the Competitive Bidding Implementation Contractor (CBIC) will use the data captured by DBidS in a bid evaluation process to determine which suppliers will or will not receive contracts to supply DME products and supplies to Medicare beneficiaries.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
All data stored in DBidS will be shared with the Competitive Bidding Implementation Contractor (CBIC) and CMS, who will use the data captured by DBidS in the bid evaluation process.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The information collected includes Name, SSN, legal documents, etc of vendors/suppliers. The data is used by the CBIC and CMS to evaluate the bids during and at the end of the bid cycle to determine which suppliers are eligible to receive contracts for providing DME products. The data collected does contain PII, as indicated. The PII is mandatory in procurement bidding process but it is voluntary that the supplier/vendor provide this data as part of their bid to become eligible to receive a contract.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] The requested processes are covered under the Medicare Supplier Information System, the existing SOR.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Data pertaining to DMEPOS suppliers is kept in soft copy only and is accessed through a web-based portal that requires a unique user ID and password for each user. All changes to the data are tracked with a user ID and time/date stamp.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Electronic Change Information Management Portal [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Electronic Change Information Management Portal 2.0 (eCHIMP)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Mia Minion

10. Provide an overview of the system: eChimp 2.0 is a dynamic Extranet web-based application that tracks and coordinates the preparation of Change Requests (CRs), including day-to-day operating instructions, policies, and procedures based on statutes, regulations, guidelines, models, and directives used by the Centers for Medicare & Medicaid Services (CMS) program components, contractors, and State survey agencies to administer CMS programs. This user-friendly system maximizes the efficiency, accuracy and timeliness of processing CRs. Echimp allows users to complete all required CRs through secure online web forms. CRs go through a series of business rules before being accepted by the system. These business rules ensure that a submitted document has all the right required information, streamlining the Change Management review process.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: N/A

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Enrollment Database [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0502

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Enrollment Database

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Anthony Culotta

10. Provide an overview of the system: The EDB (Enrollment Database) is a collection of automated systems that support the collection and maintenance of information (e.g., demographics, enrollment, insurance, premium payments) about Medicare beneficiaries. Specifically for DBS, to produce appropriate and accurate bills for and track the collection of Medicare Hospital Insurance (HI) premiums (Part A) and Supplementary Medical Insurance (SMI) premiums (Part B). Specifically for TPS, to perform third party premium billing and collection operations.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Public citizens, business partners/contacts (Federal, State, local government agencies), etc., as stated under the Routine Uses outlined in the System of Records for the EDB. The data is disclosed/shared in order to maintain information on Medicare enrollment for the administration of the Medicare program, including the following functions: ensuring proper Medicare

enrollment, claims payment, Direct billing and Third Party premium collection information, coordination of benefits by validating and verifying the enrollment status of beneficiaries, and validating and studying the characteristics of persons enrolled in the Medicare program including their requirements for information.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The agency collects information related to Medicare enrollment and entitlement and Medicare Secondary Payer data containing other party liability insurance information necessary for appropriate Medicare claim payment. It contains hospice election, premium billing and collection, direct billing information, and group health plan enrollment data. It also contains the individual's health insurance numbers, name, geographic location, race/ethnicity, sex, and date of birth. Information is collected on individuals age 65 or over who have been, or currently are, entitled to health insurance benefits under Title XVIII of the Act or under provisions of the Railroad Retirement (RR) Act, individuals under age 65 who have been or currently are, entitled to such benefits on the basis of having been entitled for not less than 24 months to disability benefits under Title II of the Act or under the RR Act, individuals who have been, or currently are, entitled to such benefits because they have ESRD, individuals age 64 and 8 months or over who are likely to become entitled to health insurance benefits upon attaining age 65, and individuals under age 65 who have at least 21 months of disability benefits who are likely to become entitled to Medicare upon the 25th month of their being disabled. It is a voluntary collection.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The information is collected from Medicare beneficiaries and obtained by CMS. The beneficiaries are informed that CMS will only disclose the minimum personal data necessary to achieve the purpose of the Enrollment Database and under what routine uses the information will be disclosed. By law, CMS is required to protect the privacy of individual's personal medical information. CMS is also required to give individuals notice telling them how CMS may use and disclose their personal medical information. Individuals are made aware in the "Medicare and You Handbook" published yearly and sent out to each Medicare beneficiary. Individuals have the right to amend any medical information that they believe to be incorrect, get a listing of anyone the information is disclosed to, and ask CMS to limit how their personal medical information is used and given out to pay claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The system was certified and accredited to process data until 09/28/2012. SSP Security controls are routinely reviewed; a contingency plan is in place and files are backed up and stored offsite regularly. All personnel (users, administrators, developers, contractors) using the system have been trained and made aware of their responsibility to protect the data collected and maintained.

Technical controls (user ids, passwords, firewalls) are in place to minimize the possibility of unauthorized access, use or dissemination of the data in the system.

Unauthorized access messages are generated by the system and forwarded to the appropriate CMS personnel for investigation. Physical access controls (guards, identification badges, key cards, closed-circuit TV) are also in place.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Health Plan Management System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0500

5. OMB Information Collection Approval Number: 0938-0763 (PBP/formulary)

0938-0944 (BPT)

0938-0469 (fiscal soundness)

0938-0935 (MA application)

0938-0936 (Part D application)

0938-0992 (Part D reporting requirements)

0938-1000 (Part D audit)

0938-1004 (Part C audit)

6. Other Identifying Number(s): No

7. System Name (Align with system Item name): Health Plan Management System (HPMS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Lori Robinson, Director

10. Provide an overview of the system: HPMS is a web-enabled information system that supports the ongoing business operations of the Medicare Advantage (MA) and Prescription Drug (Part D) programs. HPMS software modules collect data for and manage the following MA and Part D plan enrollment processes: application submission, formulary submission, bid and benefit package submissions, marketing material reviews, plan monitoring and oversight, complaints tracking, plan connectivity, financial reporting, financial and plan bid audits, plan surveys, operational data feeds for enrollment, payment, and premium withhold, and data support for the Medicare & You handbook and the www.medicare.gov website.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or

other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
HPMS collects certain personally identifiable information (e.g., from its registered users in our User Account Maintenance module). The HPMS system maintainer uses these personally identifiable data to communicate with the registered users of HPMS for the following purposes: contacting individual users for help desk services, broadcasting announcements about system maintenance activities, and disseminating CMS policy and operational guidance.

HPMS also collects certain personally identifiable information on Medicare beneficiaries and complainants in our Complaints Tracking Module (CTM). CMS federal and contractor staff use these personally identifiable data to investigate Medicare Advantage (MA) and Part D complaints and perform casework activities. These data are also shared with other federal agencies (e.g., OIG) for research purposes.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: HPMS collects certain personally identifiable information (e.g., from its registered users in our User Account Maintenance module). Specifically, HPMS collects the first name, middle initial (optional), last name, e-mail address, organization name, address, city, state, zip code, phone number, and fax number (optional) from each registered user of the system. CMS uses these personally identifiable data to communicate with the registered users of HPMS for the following purposes: contacting individual users for help desk services, broadcasting announcements about system maintenance activities, and disseminating CMS policy and operational guidance.

HPMS also collects certain personally identifiable information on Medicare beneficiaries and complainants in our Complaints Tracking Module (CTM). Specifically, HPMS collects the first name, last name, organization name, address, city, state, zip code, phone number, e-mail address, HIC number, and plan member ID. Only the first and last names are required for complainants. None of these fields are required for Medicare beneficiaries. CMS uses these personally identifiable data to investigate Medicare Advantage (MA) and Part D complaints and perform casework activities.

Lastly, HPMS displays personally identifiable information on Medicare beneficiaries enrolled in Medication Therapy Management Programs (MTMP). Specifically, HPMS displays the first name, last name, HIC number, and date of birth. Plan reporting data validation contractors use these data to validate plan data submissions.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original

collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) All major system changes concerning IIF are published for comment in the Federal Register as part of a modification of the HPMS System of Record (SOR).

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: To ensure the security of the complaint information, AspEncrypt is used to encrypt and decrypt the HICN and Plan Member ID data as it is loaded to and read by the web server. AspEncrypt encrypts and decrypts the HICN and Plan Member ID using a 128-byte RC2 cipher. The HICN and Plan Member ID data remain encrypted while at rest in the database.

Other methods for securing these data include, but are not limited to:

All traffic is encrypted using SSL;

Users must obtain CMS user IDs and passwords and are granted access to only those HPMS modules and contract numbers required by their job functions;

Contractor staff undergo background investigations and security checks;

Contractor staff undergo security awareness training; and

Use of a multi-zone security architecture, operating system integrity and hardening, monitoring and maintenance of all hardware components, administration of firewalls, host and network based intrusion detection services, etc.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM HIPAA Eligibility Transaction System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): HETS 270/271 - MBD HHS/CMM/CBS system No. 09-70-0536

HETS UI – MBD HHS/CMM/CBS system No. 09-70-0536

HPG - The system does not constitute a “System of Records” under the Privacy Act

5. OMB Information Collection Approval Number: CMS-10157;0938-0960 OBM Notice of Action

6. Other Identifying Number(s): HHSM-500-2007-00014I

7. System Name (Align with system item name): HIPAA Electronic Transaction System (HETS) -

HETS 270/271 - HIPAA Eligibility Transaction System Processing System

HETS UI – HIPAA Eligibility Transaction System Processing System

HPG - HIPAA Eligibility Transaction System (HETS) Provider GUI (HPG)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Ada Sanchez

10. Provide an overview of the system: HETS 270/271 - Beginning in July 2005, health care provider entities that wish to submit X12 270 transactions to Medicare on a real-time basis, were permitted to submit 270s via the CMS Extranet (the Medicare Data Communication Network). This Extranet is a secure closed private network currently used to transmit data between Medicare FFS contractors and CMS, as well for transmission of electronic transactions in some cases from certain providers and clearinghouses to FFS contractors.

This system is a HIPAA compliant solution for 270/271 Eligibility Inquiry/Response for Medicare FFS. 270 inquiries received are matched against the Integrated User Interface Data Base (IUI) and successful responses are returned in the 271 transaction. The system executes in the CMS CO datacenter using the mid-tier platform. It operates in real-time mode.

HETS UI – The HETS UI application, a web-based user interface, is designed to support Medicare claim processing by providing Medicare beneficiary liability and eligibility information. This is an inquiry-only system that allows access and entry of specific data elements to request Medicare beneficiary eligibility information. The HETS UI allows CMS-authorized users to submit valid benefit inquiry transactions electronically to CMS, and to receive electronic

benefit information in a response. The HETS UI application executes in the CMS CO datacenter using the mid-tier platform. It operates in real-time mode.

HPG - The HETS Provider GUI (HPG) application is a web-based user interface that allows CMS-authorized users to verify that National Provider IDs (NPIs) are valid and active Medicare providers for use in HETS 270/271 beneficiary eligibility inquiries. CMS – authorized users must upload the NPIs they will be submitting to HETS 270/271 in order to establish a valid NPI/Submitter relationship. HPG is limited to a read-only inquiry of the NPI Crosswalk system (NPICS) database for the submitted NPI to determine if the NPI is associated with an active, valid Fee For Service Medicare provider.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
The PII collected to access the system is not shared. The PII within the eligibility database (IUI) is shared with Medicare Health Care Provider community or agents acting on their behalf. The purpose of the data disclosed is to allow providers to confirm patient enrollment in the Medicare program and provide information related to benefits needed to correctly bill claims. Sharing this information is also required by HIPAA for all covered entities. Medicare, as a health insurance provider, is a covered entity under the law and is required to support these inquiry/response transactions.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: HETS 270/271 - An entity wishing to conduct this business with CMS network must complete an Access Form and agree to certain conditions before their access to the system is granted. On the Access Form we collect the following information: Organization Name, Medicare billing contractor, Medicare Provider Identification Number, National Provider Identification Number (NPI),

Technical Contact Name

Address, phone, email address, connection type remote IP address (es), AGNS account name and communications protocol. For users applying for access to the internet application, we also collect their Social Security Number.

None of this information is disseminated beyond the personnel operating the system. Submission of this information is mandatory and is only used to verify the user's identity and establish connectivity between the user and CMS.

The Extranet applications disseminate the following Medicare beneficiary information.

Beneficiary Entitlement

First, Middle and Last Name

Date of Birth

Sex

Healthcare Insurance Claim Number (HICN)

Address

Entitlement Effective Date(s) for Part A and Part B

Inactive Part A/B Period dates for Unlawful circumstances (Incarceration, Deportation, or Alien)

Beneficiary Date of Death

Part B Remaining Deductible

Active benefit status of 10 required Service Types

Beneficiary Medicare Choice Organization (MCO) Enrollment

MCO Enrollment Date(s)

MCO Contract and Plan ID

MCO Name

MCO Address

MCO Phone Number

MCO Type (PPO, POS, IND, HMO or OTHER)

MCO Contract Website Address

MCO Bill Option Code

Medicare Part D

Part D Enrollment Date(s)

Part D Contract and Plan ID

Part D Name

Part D Address

Part D Phone Number

Part D Contract Website Address

Beneficiary Medicare Secondary Payer (MSP) Enrollment

MSP Enrollment Date(s)

MSP Type Code

Policy Number

Contractor Number

Insurer Name
Insurer Address
Medicare Part A Hospital Benefits
Part A Deductible Remaining
Hospital Days Remaining
Co-Payment Hospital Days Remaining
Hospital Daily Co-Payment Rate
Lifetime Reserve Days
Skilled Nursing Facility Benefits
SNF Days Remaining
Co-Payment SNF Days Remaining
SNF Daily Co-Payment Rate
Hospice Benefits
Hospice Period Date(s)
Hospice Provider ID
Home Health Benefits
Home Health Period Date(s)
Date of Earliest Billing Activity (DOEBA)
Date of Last Billing Activity (DOLBA)
Home Health Contractor Number and Name
Home Health Provider ID
End Stage Renal Dialysis (ESRD) Benefits
ESRD Method Type
ESRD Method Effective Date
Transplant Discharge Date
Preventive Data
HCPCS
Next entitlement date (Professional Service)
Next entitlement date (Technical Service)
Smoking Cessation
Sessions Remaining or
next eligible date
Occupational/Physical and Speech Therapy
Remaining Capitation Amount per applicable calendar year(s)
Blood Deductible
of Pints remaining per applicable calendar year (s)

The entitlement information is collected by the Social Security Agency during the enrollment process. The remaining beneficiary information is collected from Medicare providers during the claim adjudication process. This collection is mandatory to receive Medicare benefits. HETS does not collect the original information but consolidates available CMS databases to respond to provider inquires. It does not adjudicate claims.

HETS UI –An entity wishing to conduct this business with CMS must agree to certain conditions before their access to the system is granted. Users must be properly registered and approved in compliance with Individuals Authorized Access to the CMS Computer Services (IACS) requirements and procedures to gain access to the HETS UI application. User authorization and authentication is performed by IACS. E-Authentication occurs via the Access Manager tool (<https://am.cms.gov/>). HETS UI users access the application via the Internet using a web browser to request Medicare beneficiary eligibility data. The URL for the HETS UI is <https://hetsui.cms.gov>. T

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The Medicare Helpdesk uses a listserv to communicate with users of this system. Email and phone notifications are used to communicate directly with users regarding individual organizations issues.

HETS 270/271 - The MCARE Help Desk (which provides user support for this application) uses a listserv to communicate with users of this system. Email and phone notifications are used to communicate directly with users regarding individual organization issues.

HETS UI – Same as HETS 270/271

HPG - No PII is collected.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: HETS 270/271 - HETS 270/271 is accessible only via the CMS private network (MPLS) at the Baltimore Data Center and any and

all policies relating to information security are addressed in the CMS organization policies and procedures, including the CMS Policy for Information Security Program (PISP) and CMS Acceptable Risk Safeguards (ARS). For further technical detail please refer to the HETS SSP.

HETS UI - HETS UI is a web-based application utilizing encryption and is located at the Baltimore Data Center and any and all policies relating to information security are addressed in the CMS organization policies and procedures, including the CMS Policy for Information Security Program (PISP) and CMS Acceptable Risk Safeguards (ARS). For further technical detail please refer to the HETS SSP.

HPG – N/A

HETS UI: Is a web-based application utilizing encryption and is located at the Baltimore Data Center and any and all policies relating to information security are addressed in the CMS organization policies and procedures, including the CMS Policy for Information Security Program and CMS Acceptable Risk Safeguards.

HDS: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM HIPAA Online System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? Yes

If this is an existing PIA, please provide a reason for revision:

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): NA

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): HIPAA Online System (HOS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Louis Blank

10. Provide an overview of the system: The health insurance reforms of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) assists individuals with medical conditions that might render them uninsurable in the individual market, or insurable but subject to preexisting condition exclusions in the individual or group markets. HIPAA Online is an outreach tool developed to publicize these HIPAA protections. It is a free, interactive Internet-based program that guides consumers and employees through a series of questions and in approximately 15 minutes, tailors answers about their rights, and provides direct links to the state or federal agencies of jurisdiction. HIPAA Online provides timely, correct information to consumers and employers 7 days a week, 24 hours a day, on a confidential basis.

13. Indicate if the system is new or an existing one being modified: New

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
NA

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The following information will be maintained and disseminated by CMS: contact information for each state department of insurance and information about HIPAA portability rights. This information will be used to inform consumers of their rights under HIPAA portability. There is no PII.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) NA

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: NA

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Medicare Advantage and Prescription Drug System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-4001

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): MEDICARE ADVANTAGE AND PRESCRIPTION DRUG PLAN OPERATING SYSTEM (MARx)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: ED HOWARD

10. Provide an overview of the system: MARx supports the enrollment, premium, and payment calculation functions for Managed Care Organizations (Health Insurance Companies) and Prescription Drug Sponsors. Health Insurance Companies submit transactions to CMS for enrollment, disenrollment and enrollment changes. The MARx system processes these transactions and provides Health Insurance Companies with reports of the processing details for each transaction. The Health Insurance Companies can expect to receive reports on a daily, weekly and monthly basis. In addition, CMS-authorized end users within the Health Insurance Companies may access the MARx User Interface (UI) to query beneficiary and premium data. To support the large number of users and large data volumes, CMS has developed an architecture that controls the access of the Health Insurance Companies to the CMS infrastructure. CMS users will utilize the MARx UI for performing system, beneficiary, premium and payment queries. In addition, CMS personnel may perform data entry into MARx through the UI.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):

Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Internal:

- Medicare Beneficiary Database (MBD) for determining beneficiary demographic data and identifying information;
- Risk Adjustment System (RAS) for risk adjustment rates;
- Premium Withhold System (PWS) for withholding data;
- Gentran / Electronic File Transfer (EFT) for communicating beneficiary and plan data;
- Next Generation Desktop (NGD) for processing dis-enrollments from 1-800-Medicare;
- Retiree Drug Subsidy (RDS) for rejected enrollments; and
- Individuals Authorized Access to CMS Computer Services (IACS) for user identity management.

External:

Social Security Administration (SSA) for communicating Part C and Part D premium information for beneficiaries.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: MARx stores and processes beneficiary enrollment information provided by managed care and prescription drug plans and auto-enrollments from the MBD. This data includes PII pertaining to the beneficiary (address, social security number) health plan, and plan payments. MARx uses this information to enroll beneficiaries and calculate premium and payment amounts for managed care and prescription drug sponsors

Policies regarding the voluntary or mandatory nature of the PII are the responsibility of the systems that provide enrollment transactions to MARx.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Authority for maintenance of MARx is given under provisions of the Medicare Prescription Drug Improvement and Modernization Act, amending the Social Security Act (the Act) by adding Part D under Title XVIII (§ 1860D–15(c)(1)(C) and (d)(2), as described in 42 Code of Federal Regulation (CFR) 423.401.

The Privacy Act permits CMS to disclose information without an individual's consent if the information is to be used for a purpose that is compatible with the purpose(s) for which the information was collected. Any such disclosure of data is known as a "routine use."

This system contains Protected Health Information (PHI) as defined by HHS regulation "Standards for Privacy of Individually Identifiable Health Information" (45 CFR Parts 160 and 164, 65 FR 82462 (Dec. 28, 00), as amended by 66 FR 12434 (Feb. 26, 01)). Disclosures of PHI authorized by these routine uses may only be made if, and as, permitted or required by the "Standards for Privacy of Individually identifiable Health Information."

In addition, it is CMS policy to prohibit release of non-identifiable information, except pursuant to one of the routine uses, if there is a possibility that an individual may be identified through implicit deduction based on small cell sizes (instances where the patient population is so small that individuals who are familiar with the enrollees could, because of the small size, use this information to deduce the identity of the beneficiary).

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The following administrative and technical controls have been implemented to secure the PII stored and processed by MARx: RACF; User ID and password-controlled access; firewall; AGNS front-end security; Network technology; and compliance standards involving an annual review of the Certification and Accreditation documentation and controls. Physical controls include an onsite security guard, key card entry into the CMS Data Center, and controlled access to the MARx application at the CMS Data Center in Baltimore.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Medicare Appeals System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number: 009-38-01-04-01-1180-00

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0566

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Medicare Appeals System (MAS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Cyqwenithia Boyd

10. Provide an overview of the system: The Medicare Appeals System allows both tracking of and reporting on the Medicare appeals process. This system is used to support the new Medicare process established by the Medicare Prescription Drug, Improvement, and Modernization Act of 2003 (MMA) and the Benefits Improvement and Protection Act of 2000 (BIPA).

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
The Office of Medicare Hearings and Appeals (OMHA), CMS, and the CMS contractors who process Medicare appeals. The PII is necessary to record and adjudicate the Medicare appeals.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The MAS will collect and

maintain PII in order to record and adjudicate appeals of Medicare claims and services in dispute. This information may include: Name, Health Insurance Claim Number (HICN), Social Security Number, Address, Telephone Number, Medical History, and other personal information necessary to conduct a review of the appeal. The Medicare Appeals System will collect and maintain beneficiary enrollment data, claim information, and contact information. This information will include PII that will be held to the highest confidentiality. Submission of this information is mandatory for anyone requesting an appeal on their claim.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The MAS System of Record provides notification of the data that will be collected and maintained. Written notice is provided in the MAS system of records.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?: No

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Users are required to wear Identification Badges / Key Cards in order to gain access to the facilities. The user must then access the system through a T1 line that is dedicated to CMS. Firewalls are in place to block unauthorized access. The user can only access the system with their CMS userid and password. This password expires after 60 days, has a minimum length of eight characters, and accounts are locked after three incorrect attempts. Accounts are also logged out after 15 minutes of inactivity. User accounts are also role based to protect unnecessary access to PII.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Medicare Beneficiary Database Suite of Systems [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0536

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Medicare Beneficiary Database

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Anthony Culotta

10. Provide an overview of the system: The MBD was developed to provide CMS with a centralized database that supports the collection and maintenance of information about Medicare Program beneficiaries. The Medicare beneficiary information contained in the MBD is used to support managed care enrollments, payments to Managed Care Organizations, and the Prescription Drug Program.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Public citizens, business partners/contacts (Federal, State, local government agencies), etc., as stated under the Routine Uses outlined in the System of Records for the MBD which Information

retrieved from this system of records

will also be disclosed to: (1) Support

regulatory, reimbursement, and policy functions performed within the agency or by a contractor, consultant or a CMS grantee; (2) assist another Federal or State agency, agency of a State government, an agency established by State law, or its fiscal agent; (3) support providers and suppliers of services for administration of Title XVIII; (4) assist third parties where the contact is expected to have information relating to the individual's capacity to manage his or her own affairs; (5) support Quality Improvement Organizations (QIO); (6) assist other insurers for processing individual insurance claims; (7) facilitate research on the quality and effectiveness of care provided, as well as payment related projects; (8) support Patient Assistance Programs and other groups providing pharmaceutical assistance or services to Medicare beneficiaries; (9) support litigation involving the agency; and (10) combat fraud, waste, and abuse in certain health benefits programs.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The agency collects information related to Medicare enrollment and entitlement and Medicare Secondary Payer data containing other party liability insurance information necessary for appropriate Medicare claim payment. It contains hospice election, premium billing and collection, direct billing information, and group health plan enrollment data. It also contains the individual's health insurance numbers, name, geographic location, race/ethnicity, sex, and date of birth. Information is collected on individuals age 65 or over who have been, or currently are, entitled to health insurance benefits under Title XVIII of the Act or under provisions of the Railroad Retirement (RR) Act, individuals under age 65 who have been or currently are, entitled to such benefits on the basis of having been entitled for not less than 24 months to disability benefits under Title II of the Act or under the RR Act, individuals who have been, or currently are, entitled to such

benefits because they have ESRD, individuals age 64 and 8 months or over who are likely to become entitled to health insurance benefits upon attaining age 65, and individuals under age 65 who have at least 21 months of disability benefits who are likely to become entitled to Medicare upon the 25th month of their being disabled. It is a voluntary collection.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The information is collected from Medicare beneficiaries and obtained by CMS. The beneficiaries are informed that CMS will only disclose the minimum personal data necessary to achieve the purpose of the Enrollment Database and under what routine uses the information will be disclosed. By law, CMS is required to protect the privacy of individual's personal medical information. CMS is also required to give individuals notice telling them how CMS may use and disclose their personal medical information. Individuals are made aware in the "Medicare and You Handbook" published yearly and sent out to each Medicare beneficiary. Individuals have the right to amend any medical information that they believe to be incorrect, get a listing of anyone the information is disclosed to, and ask CMS to limit how their personal medical information is used and given out to pay claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The system was certified and accredited to process data until 09/28/2012. SSP Security controls are routinely reviewed; a contingency plan is in place and files are backed up and stored offsite regularly. All personnel (users, administrators, developers, contractors) using the system have been trained and made aware of their responsibility to protect the data collected and maintained.

Technical controls (user ids, passwords, firewalls) are in place to minimize the possibility of unauthorized access, use or dissemination of the data in the system.

Unauthorized access messages are generated by the system and forwarded to the appropriate CMS personnel for investigation. Physical access controls (guards, identification badges, key cards, closed-circuit TV) are also in place.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders
Sr. Official for Privacy Approval: Promote
Sr. Official for Privacy Name: Karen Trudel
Sign-off Date: 6/30/2011
Approved for Web Publishing: Yes
Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Medicare Part B Shared System Claims Processing Maintenance [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): CMS CMM EDS Plano (MCS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The Medicare Claims Processing System is a collection of systems hosted in Medicare contractors' data centers to process Medicare claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
IIF is shared with patients, business partner/contacts, and vendors/supplier/contractors to verify receipt of service and properly pay claims.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address,

phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and/or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANSI X12 837) for the purpose of processing and paying claims. The information contains IIF. The submission of the personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their IIF is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. Medicare Claims Processing Standard Systems maintainers use security software and methods to provide “least privilege access.” They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. Sometimes, in order to fix programmatic problems, programmers are granted temporary access in order to fix and ensure that errors are fixed. The temporary access may be granted for a day or other short periods of time that can be controlled through security software. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Payment Reconciliation System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-4001, 09-70-0500, 09-70-0552, 09-70-0553, 09-70-0557, 09-70-0564

5. OMB Information Collection Approval Number: HPMS: 0938-0763 (PBP/formulary)

0938-0944 (BPT)

0938-0469 (fiscal soundness)

0938-0935 (MA application)

0938-0936 (Part D application)

0938-0992 (Part D reporting requirements)

0938-1000 (Part D audit)

0938-1004 (Part C audit)

0938-0944 (BPT)

0938-0469 (fiscal soundness)

0938-0935 (MA application)

0938-0936 (Part D application)

0938-0992 (Part D reporting requirements)

0938-1000 (Part D audit)

0938-1004 (Part C audit)

0938-0944 (BPT)

0938-0469 (fiscal soundness)

0938-0935 (MA application)

0938-0936 (Part D application)

0938-0992 (Part D reporting requirements)

0938-1000 (Part D audit)

0938-1004 (Part C audit)

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): PRS- Payment Reconciliation System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Angela Porter-James &

10. Provide an overview of the system: PRS aggregates payment data from MARx, PDE data from DDPS, and bid/direct and indirect remuneration data from HPMS in order to perform the calculations for the Part D payment reconciliation.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
System shares PII with Part D plans in which these individuals are enrolled for purposes of explaining costs and payments used in calculating the reconciliation.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The Payment Reconciliation System aggregates data from other CMS systems, MARx, PDE data from DDPS, and bid/direct and indirect remuneration data from HPMS, for purposes of calculating Part D final payment. The data includes Name, DOB, SSN, mailing address, HICN, and plan member ID. This data contains PII data elements. The submission of the PII data is mandatory under the Medicare program in order to process Part D payments properly.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) No, this data does not involve direct collection or sharing of PII with anyone other than the plan in which the individual enrolled and to whom the individual granted permission to use this information.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: PRS beneficiary level data resides on the mainframe and is accessible only by the PRS application and reports. Access controls are user access to establish for reports and the data is protected by the mainframe GSS controls.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Pinnacle Fiscal Intermediary Shared System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): CMS CMM Pinnacle (FISS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The Medicare Claims Processing System, which includes Pinnacle Fiscal Intermediary Shared System, is a collection of systems hosted in Medicare contractors' data centers to process Medicare claims for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
IIF is shared with patients, business partner/contacts, and vendors/supplier/contractors to verify receipt of service and properly pay claims. Information is shared to verify patient data between Medicare Supplemental Insurers, if necessary, as well as entitlement and accuracy of payment

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address, phone numbers, medical record numbers, medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and/or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANSI X12 837) for the purpose of processing and paying claims. The information contains IIF. The submission of the personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their IIF is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. Medicare Claims Processing Standard Systems maintainers use security software and methods to provide “least privilege access.” They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. Sometimes, in order to fix programmatic problems, programmers are granted temporary access in order to fix and ensure that errors are fixed. The temporary access may be granted for a day or other short periods of time that can be controlled through security software. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Premium Withhold System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0552; 09-70-4001

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Premium Withhold System (PWS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Marla Kilbourne

10. Provide an overview of the system: PWS tracks Part C and/or Part D beneficiary level premium payments for the entire Medicare population (approximately 40 million beneficiaries) who elect either Part C - Medicare Advantage - or Part D - Medicare prescription drug coverage, including managing the data exchange for Medicare beneficiaries who elect to have their premiums withheld by OPM, SSA, or RRB.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
External – SSA, to be able to provide withholding information for beneficiaries
Internal – MARx, MBD to get information about beneficiaries and plans.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: PWS has a routine use of data from the MBD and MARx internal CMS systems that includes PII data including Name, SSN, DOB, and HICN. The primary purpose of the system is to process a monthly premium withhold file from SSA and RRB, capture expected premium withholding amounts from MARx and compare them to actual withholding amounts, produce a reconciliation of the reported withholding amounts with amounts transferred via Governmental Payment and Collection (IPAC) files from SSA and RRB, and generate plan payment requests to APPS. Policies regarding the voluntary or mandatory nature of the PII are the responsibility of the systems that provide the beneficiaries or plan data to PWS.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) PWS is fed IIF from MBD and MARx internal CMS systems, and data from external SSA and RRB systems via CMS Enterprise Data Exchange. PWS is not the SOR for the IIF.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: PWS – RACF controls are in place per the GSS and EUA systems as far as technical and administrative electronic access to records, and the data center controls physical access.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Production Performance Monitoring System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): NA

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Production Performance Monitoring System (PULSE)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Brent Bowden, 410-786-8124

10. Provide an overview of the system: PULSE: On a nightly basis, Medicare contractors transmit their CMS-1565, CMs-1566, and CMS-1522 report files to the CMS data center via Connect: direct. Each CWF host site transmits their 207, and 0101 reports. While daily data provides the most timely metrics, those contractor that do not product daily reports submit the required reports on the days that they have a batch cycle. The Pulse system handles the reports accordingly. The data collection process extracts the defined claim metrics on a nightly basis from Medicare contractors that utilize the existing standard systems.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: PULSE: On a nightly basis, Medicare contractors transmit their CMS-1565, CMs-1566, and CMS-1522 report files to the CMS data center via Connect: direct. Each CWF host site transmits their 207, and 0101 reports. While daily data provides the most timely metrics, those contractor that do not product daily reports submit the required reports on the days that they have a batch cycle. The Pulse system handles the reports accordingly. The data collection process extracts the defined claim metrics on a nightly basis from Medicare contractors that utilize the existing standard systems.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Retiree Drug Subsidy System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number: 009-38-01-04-01-1200-00

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0550

5. OMB Information Collection Approval Number: 0938-0957/0938-0977

6. Other Identifying Number(s): FMIB # 6547

7. System Name (Align with system Item name): Retiree Drug Subsidy System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: David Gardner/Sonja Brown

10. Provide an overview of the system: The RDS system is designed to provide information, enrollment, payment, and customer service for Plan Sponsors enrolled in the RDS Program. It is also designed to allow CMS to manage and track expenditures to Plan Sponsors as well as Plan eligibility and compliance.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
RDS shares PII with Federal Law Enforcement Agencies and with CMS information systems such as the MBD to verify retirees' ability to be claimed by an Employer Plan Sponsor as a qualifying covered retiree under the RDS program. In addition PII may potentially be shared with Federal Law Enforcement Agencies the CMS Office of Hearings, the Office of the Administrator, LexisNexis for Secure Website user validation, and JP Morgan Chase for payment disbursement. In addition, PII may be shared for the purposes of Congressional Requests and during audits and cost reporting.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: (1) The system collects demographic and financial information on the Plan Sponsors and Demographic Data on Medicare Eligible persons enrolled in RDS Plans as well as users of the system. (2) Beneficiary data is needed to confirm eligibility as a “qualified covered retiree” for purpose of payment. A qualified covered retiree is eligible for, but not enrolled in a Part D Plan. User Data pertaining to Authorized Representatives, Account Managers, Designees, and actuaries is used to validate against OIG and GAO. (3) The information does contain PII. (4) The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] (1) This is done through PRA notices, Outreach email, PWS, webinars, and system of record (SOR) notices. (2) CMS is required to provide updated Notices of Privacy Practices. (3) Other methods include the Secure Website User Guide, PRA, and the User Agreement

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?: No

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All data is secured in accordance with the RDS System Security Plan, which is CMS OIS compliant.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Risk Adjustment System-RAPS [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0536

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): RAS/RAPS

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Michael Massimini/Tina Darden

10. Provide an overview of the system: RAS/RAPS consists of three applications: RAS, RAPS and Risk Adjustment System Analysis and Reporting Tool (RAS ART). These applications utilizes the Risk Adjustment Suite of Software to receive diagnostic and beneficiary data from other systems, stages the data, calculates Risk Adjustment Factors (RAFs), feeds the RAFs to other systems within Medicare Modernization Act (MMA), and provides reports on the resulting factors and other data outcomes.

The RADV CDAT is a subsystem of the Risk Adjustment System/Risk Adjustment Processing System (RAS/RAPS) application, hereafter referred to as CDAT. CDAT was developed to improve and support the medical record review and risk adjustment processes. CDAT will be used to automate the flow and control of the risk adjustment data validation (RADV) activities for the Centers for Medicare & Medicaid Services (CMS). For CDAT-PIA document, please refer to CDAT system in CFACTS.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):

Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):

RAPS: receives PII, health and other claims data (via the Front End Risk Adjustment System (FERAS), which formats the initial data) from Medicare Advantage (MA) and Medicare Advantage Prescription Drug (MAPD) organizations, submits the formatted data to RAS, and returns submission reports to the submitters. The collection is required to generate health risk scores for MA and MAPD enrolled Medicare beneficiaries.

National Medicare Utilization Database (NMUD): provides FFS PII, health and other claims data. This collection is required to generate health risk scores for all Medicare beneficiaries.

MBD/Common Medicare Environment (CME): provides PII and beneficiaries demographic data. This collection is required to generate health risk scores for Medicare beneficiaries.

Health Plan Management System (HPMS): provides the most current and accurate Contract and Plan level data. This data feed enables RAS ART to summarize and stratify Contract and Plan data. This collection is required to generate reports, which are used to track and monitor the performance of Medicare Advantage Organizations (MAOs).

Medicare Advantage Prescription Drug System (MARx): receives PII, RAFs and other data from RAS, and provides the data outcomes to MAOs. This collection is required to generate MA payments and reports at and on the Medicare beneficiary level.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: RAS/RAPS requires (i.e., mandatory) MA and MA PD submitters to provide Health Insurance Claim Number (HICN), ICD-9-CM Diagnosis Code, Service from date, Service through date, Provider Type (Hospital Inpatient, Hospital Outpatient and Physician), Patient Control Number (optional) and Date of Birth (optional) for routine use. Submission of PII data is mandatory as a condition of payment. The submitted data is necessary to comply with the MMA payment provisions.

RAS downloads (as routine use) PII (i.e., HICN, SSN, Beneficiary Identification Code (BIC) and Beneficiary Name) and non-PII program and system data from NMUD, MBD/CME and HPMS. The extracted or shared data is for routine use, and is necessary to comply with the MMA payment provisions.

RAS ART downloads (as routine use) PII (i.e., HICN, SSN, Beneficiary Identification Code (BIC) and Beneficiary Name) and non-PII program and system data from RAS, RAPS, MARx and HPMS. The extracted data is for routine use, and is necessary to comply with the MMA payment accuracy and analytical provisions.

RAS uploads (as routine use) PII (i.e., HICN, SSN, Beneficiary Identification Code (BIC) and Beneficiary Name) and non-PII program and system data to MARx. The shared data is for routine use, and is necessary to comply with the MMA reporting and payment provisions.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Participation in MA and MAPD plans is voluntary and requires an affirmative election to join. When an individual enrolls in a plan, as part of the application package, the beneficiary is required to sign the Agreement Page. Thus, MMA enrollment equates to beneficiary consent. The Privacy Act permits CMS to disclose information without an individual's consent if the information is used to for a purpose that is compatible with the purpose(s) for which the information was collected. Any such disclosure of data is known as a "routine use." CMS policy prohibits the release even of non-identifiable information, except pursuant to "routine use."

RAPS (via FERAS) receives PII and non-PII beneficiary health claims data from MA and MAPD plans, and discloses PII and non-PII beneficiary data to external and internal sources pursuant to determining beneficiary payment rates (i.e., pursuant to routine use).

RAS receives and discloses PII and non-PII beneficiary data from and to internal sources (i.e., RAPS, MBD/CME, HPMS, NMUD and MARx pursuant to determining beneficiary payment rates and plan performance, in the case of RAS ART (i.e., pursuant to routine use).

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All of the RAS applications (i.e., RAS, RAPS and RAS ART) utilize the RACF controls that are in place per the Enterprise User Administration (EUA) as far as technical and administrative electronic access to records. They also rely heavily upon CMS enterprise components to process their transactions and authenticate users. Thus, RAS/RAPS inherits the security controls in place for the CMS infrastructure that are contained in the Master Security Plan and CMS Data Center GSS SSP to support their external Business partners, enterprise file transfers and user authentications, and further inherits the security controls and guidelines for User and Data Assets, Physical architecture, Information and Data flows, MAO's connectivity to CMS and external Business partners' information sharing functions and separate security agreements that are contained in the MARPO SSP.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM True Out of Pocket Expenditures [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0557

5. OMB Information Collection Approval Number: 0938-0978

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): TrOOP

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Deborah Larwood

10. Provide an overview of the system: HICN to track Nx and Fx transactions to administer the Part D benefit. The transactions are mandatory.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Pharmacies and Part D plan sponsors for administration of the Part D benefit

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: This system passes through beneficiary ID, SSN, name, DOB, and TrOOP-related data, and payer info for Part D eligibility and COB info to pharmacies and plans. The purpose is to maintain a master file to establish a TrOOP facilitation process, maintain information on individuals and entities that make payments

on covered drugs under the Medicare Part D Program, and coordinate TrOOP relevant data from State Pharmaceutical Programs (SPAPs) and other health insurers. The data that the system collects and maintains is PII. The collection of the data is mandatory in order to track and resolve payments issued under this program.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) None – mandatory for Part D benefit administration (to accurately track beneficiary costs and copayments).

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Controls follow FISMA requirements.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM Undocumented Alien Reimbursement System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-07-0546

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (Section 1011)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Loretta Conyers

10. Provide an overview of the system: This system collects claim and reimbursement data from hospitals, physicians and ambulance companies for services rendered to undocumented aliens under Section 1011 of MMA.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
The Privacy Act of 1974, under which CMS may release information from the Section 1011 program without the consent of the individual to whom such information pertains. Each proposed disclosure of information under these routine uses will be evaluated to ensure that the disclosure is legally permissible, including but not limited to ensuring that the purpose of the disclosure is compatible with the purpose for which the information was collected. We are proposing to establish the following routine use disclosures of information maintained in the system:

1. To agency contractors or consultants who have been contracted by the agency to assist in the performance of a service related to this system and who need to have access the records in order to perform the activity.
2. To a CMS contractor that assists in the administration of a CMS administered health benefits program, or to a grantee of a CMS-administered grant program, when disclosure is deemed reasonably necessary by CMS to prevent, deter, discover, detect, investigate, examine, prosecute, sue with respect to, defend against, correct, remedy, or otherwise combat fraud or abuse in such program.
3. To another Federal agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States (including any State or local governmental agency), that administers, or that has the authority to investigate potential fraud or abuse in, a health benefits program funded in whole or in part by Federal funds, when disclosure is deemed reasonably necessary by CMS to prevent, deter, discover, detect, investigate, examine, prosecute, sue with respect to, defend against, correct, remedy, or otherwise combat fraud or abuse in such programs.
4. To another Federal or State agency to: a. Contribute to the accuracy of CMS' proper payment of a health benefit, or b. Enable such agency to administer a Federal health benefits program, or as necessary to enable such agency to fulfill a requirement of a Federal statute or regulation that implements a health benefits program funded in whole or in part with Federal funds.
5. To a Member of Congress or to a congressional staff member in response to an inquiry of the Congressional Office made at the written request of the constituent about whom the record is maintained.
6. To the Department of Justice (DOJ), court or adjudicatory body when: a. The agency or any component thereof, or b. Any employee of the agency in his or her official capacity; or c. Any employee of the agency in his or her individual capacity where the DOJ has agreed to represent the employee, or d. The United States Government; is a party to litigation or has an interest in such litigation, and by careful review, CMS determines that the records are both relevant and necessary to the litigation.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The Section 1011 program includes the provider name and identification number, provider address, provider employer identification number, provider banking information, provider federal tax identification number, patient's control number, medical record number, date of service, patient's gender, zip code, state and county, the principal diagnosis code, admitting diagnosis code, and total charges. It also includes claims information related to Section 1011 payment requests, and other research information needed to pay claims and administer the Section 1011 program. The submission of the PII information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) CMS will make disclosure from the proposed system only with consent of the subject individual, or his/her legal representative, or in accordance with an applicable exception provision of the Privacy Act.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The CDS data center uses many security controls to monitor the installation and updates to hardware, operating system software, and other system software to ensure that the hardware and software functions as expected and that a historical record is maintained of system changes. Configuration Management (CM) protocols and policies have been developed to ensure that a consistent process and change control documentation is used to establish baselines for the controls regarding GSS changes. A formal systems change request process is strictly followed for any system configuration change. All software changes proceed through a series of steps designed to ensure quality and security.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CM ViPS Medicare Shared System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): CMS CMM ViPs (VMS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Jackson

10. Provide an overview of the system: The Medicare Claims Processing Systems, which includes the ViPS Medicare Shared System, is a collection of systems hosted in Medicare contractor's data centers to process Medicare claims, for reimbursement.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Information is shared to verify patient data between Medicare Supplemental Insurers, if necessary, as well as entitlement and accuracy of payment

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The information collected, maintained or disseminated includes name, date of birth, social security number, mailing address,

phone numbers, medical record numbers medical notes, financial account information and/or numbers, certificates, device identifiers, email address, military status and/or records, employment status and/or records, employer or school name, health insurer name/plan, health insurer group number, patient marriage and employment status, CMS-1450 (UB92), CMS-1500 (ANSI X12 837) for the purpose of processing and paying claims. The information contains IIF. The submission of the personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] System of records and the Medicare & You handbook. The handbook is used to annually notify individuals of their right to ask Medicare to limit how their IIF is used and given out to pay their claims and run the Medicare program.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Access to the systems is given based on need to know and job responsibilities to process Medicare claims. Medicare Claims Processing Standard Systems maintainers use security software and methods to provide “least privilege access.” They will utilize packages such as RACF or ACF2 to grant or deny access to data based upon need to know. Sometimes, in order to fix programmatic problems, programmers are granted temporary access in order to fix and ensure that errors are fixed. The temporary access may be granted for a day or other short periods of time that can be controlled through security software. External audits also verify these controls. Technical controls used include user identification, passwords, firewalls, virtual private networks and intrusion detection systems. Physical controls used include guards, identification badges, key cards, cipher locks and closed circuit televisions.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CMCS Children's Health Insurance Program Annual Report Template System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): n/a

5. OMB Information Collection Approval Number: OMB# 0938-0841 Expiration Date: 10/31/2010

6. Other Identifying Number(s): n/a

7. System Name (Align with system Item name): CARTS: Children's Health Insurance Program Annual Report Template System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Jeffrey Silverman

10. Provide an overview of the system: The CHIP Annual Report Summary Template System (CARTS) assists states in completing their annual reports. The information gathered from these reports will allow CMS and the National Academy for State Health Policy (NASHP) to consolidate state reports and make assessments about approved plans and implement program management activities. The reports help recognize diversity in state approaches to

CHIP and equip CMS with information to allocate funds and manage program activities. States assess the operation of their state child health plans each fiscal year, and report by January 1 following the end of the fiscal year, on the results of the assessment. The state must assess the progress made in reducing the number of uncovered, low-income children.

Section 2108 and Section 2108(e) of the Social Security Act provides that the State must assess the operation of the Child Health Program in each fiscal year, and report to the Secretary, by January 1 following the end of the fiscal year, on the results of the assessment. Regulations at 42 CFR 457.750 implemented the statutory provision requiring assessment of the program and submission of an annual report. As well, the CARTS Annual Report for Medicaid Quality is submitted in voluntary compliance with Section 1139A of the Social Security Act, added by section 401 of CHIPRA

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the

character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):

Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):

n/a

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The Children's Health Insurance Program (CHIP) Annual Report Template System (CARTS) created an information system to track and report on CHIP Annual Report survey answers. The States answer these survey questions on a yearly basis after the end of each fiscal year. This system is complementary to the CHIP Enrollment Data System (SEDS). The application converts an existing Word-based survey into an HTML-web based application. It also is designed to provide reporting and export of survey answers back to the Word template.

The data collected is public data information of the providers and various state's contacts that are participating in the Children's Health Insurance Program. This data includes mailing addresses, company name, and email addresses. This data being collected is considered PII data but it is not subject to the Privacy Act due to the public accessibility of the data. The submission of the data is mandatory of those participating in the program.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) n/a

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Rules of least Privilege; authorized personnel with approved user Id and password; firewall and intrusion detection; Identification Badges; Key Cards; Closed Circuit TV (CCTV)

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CMCS Children's Health Insurance Program Statistical Enrollment Data System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: OMB# 0938-0841 Expiration Date: 10/31/2013

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CHIP SEDS: Children's Health Insurance Program Statistical Enrollment Data System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Jeffrey Silverman

10. Provide an overview of the system: Children Health Insurance Program enrollment data is submitted by states in the Statistical Enrollment Data System (SEDS) and maintained by the Centers for Medicare & Medicaid Services (CMS). SEDS is the only national source of CHIP enrollment data. Title XXI of the Social Security Act (section 2107) and 42 CFR 457.740 requires that states collect data on the number of children enrolled in separate child health programs, Medicaid expansion programs, combination programs, and in Medicaid.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: All states with title XXI programs collect program enrollment statistics and report them to CMS via the SEDS. There are five main forms used in the SEDS. The form each State submits is dependent upon the program in place in the State. These forms are contained within the SEDS and are completed and submitted totally online after connecting to the internet site and gaining access to the system

States report CHIP separate child health program enrollment information by completing and submitting Form CMS-21E.

States report CHIP Medicaid expansion enrollment information by completing and submitting Form CMS-64.21E.

States report title XIX Medicaid program enrollment for children by completing and submitting Form CMS-64EC.

States report CHIP adult waiver demonstration enrollment information by completing and submitting Form CMS-21waiver.

States report enrollment information on low-income pregnant women enrolled in CHIP by completing and submitting Form CMS-21PW.

States with combination programs would submit all three forms, and States with a separate child health program would only submit the CMS-21E and the CMS-64EC. States with an approved title XXI section 1115 demonstration project would report enrollment data for this expansion population on the CMS-21waiver.

No IIF data subject to the Privacy Act is collected.

Name: required to request access to the system and determining system internal application permissions; Email: company email address, required for the purpose of business correspondence

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Rules of least Privilege; authorized personnel with approved user Id and password; firewall and intrusion detection; Identification Badges; Key Cards; Closed Circuit TV (CCTV)

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CMCS Drug Data Reporting for Medicaid [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: OMB# 0938-0578 CMS-367a ; OMB# 0938-0578 CMS-367b ; OMB# 0938-0578 CMS-367c

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Drug Data Reporting for Medicaid

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Samone Angel and Dusty Kerhart

10. Provide an overview of the system: The Drug Data Reporting (DDR) for Medicaid is a web-based application used by drug manufacturers and states participating in the Medicaid Drug Rebate program. It is a standardized reporting tool for the manufacturers to submit required product and pricing data in support of the MDR and FULs programs. The DDR contains the manufacturer's product and pricing data by labeler code.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The Drug Data Reporting (DDR) for Medicaid is a web-based application used by drug manufacturers and states participating in the Medicaid Drug Rebate program. It is a standardized reporting tool for the manufacturers to submit required product and pricing data in support of the MDR and FULs programs. The FUL program operates under the authority of Sections 1902(a)(30)(A) and 1927(f)(2) of the Social Security Act and the regulations in 42 CFR 447.332. The MDR system was established as part of Section 1927 of the Social Security Act (the Act) under OBRA '90. The DDR contains the manufacturer's product and pricing data by labeler code.

The data collected is public data information of the drug manufacturers and states contacts that are participating in the Medicaid Drug Rebate program. This data includes mailing addresses, company name, and email addresses. This data being collected is considered PII data but it is not subject to the Privacy Act due to the public accessibility of the data. The submission of the data is mandatory of those drug manufacturers and states that wish to participate in the Medicaid Drug Rebate program.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Rules of least privilege; authorized personnel with approved user Id and password; firewall and intrusion detection; Identification Badges; Key Cards; Closed Circuit TV (CCTV).

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CMCS Federal Upper Limits System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: OMB# 0938-0578 CMS-367b ; OMB# 0938-0578 CMS-367c

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Federal Upper Limit System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Gail Sexton and Kwan Saddler

10. Provide an overview of the system: FULs: The Federal Upper Limit System (FULs) determines the highest allowable Medicaid price for Food and Drug Administration (FDA) approved drugs. This price is derived from manufacturer prices obtained from external sources: Medi-Span, Blue Book and Red Book. The primary output from this system is the "Payment for Services Report" which lists all products along with their strengths, dosage form, route of administration, package size, the FULs price and source.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: FULs: As described in Section 1927(e)(4) of the Social Security Act and 42 CFR 447.332, CMS establishes a specific upper limit for multiple source drugs if the following requirements are met:

All of the formulations of the drug approved by the Food and Drug Administration (FDA) have been evaluated as therapeutically equivalent (category A) in the current edition of the publication, Approved Drug Products with Therapeutic Equivalence Evaluations (including supplements or successor publications); OR

At least three of the formulations of the drug approved by the FDA have been evaluated as therapeutically and pharmaceutically equivalent (category A) in the most current edition of its publication Approved Drug Products with Therapeutic Equivalence Evaluations (including supplements or in successor publications), regardless of whether all additional formulations are rated as such; AND

At least three suppliers list the drug in the current editions (or updates) of published compendia of cost information for drugs (e.g., Red Book, Blue Book (First Data Bank), Medi-Span).

In order to evaluate whether a drug meets the above mentioned criteria, CMS receives data directly from the FDA, Red Book, First Data Bank, and Medi-Span. The FDA data is used to determine whether a drug has been rated as therapeutically and pharmaceutically equivalent, while the compendia data is used to determine the number of suppliers and pricing data (Average Wholesale Prices, Wholesale Acquisition Costs, and Direct Prices) to establish the actual FUL prices.

No PII data subject to the Privacy Act is collected.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Rules of Least Privilege; Authorized

personnel with approved user ID and password; firewall and intrusion detection; Guards; Identification Badges; Key Cards, Closed Circuit TV (CCTV)

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CMCS Medicaid and Children's Health Insurance Program Budget and Expenditure System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0541, 09-70-0578

5. OMB Information Collection Approval Number: 0938-0067, 0938-0731, 0938-0101

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Medicaid & Children's Health Insurance Program Budget and Expenditure System (MBES/CBES)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Dianne Heffron

10. Provide an overview of the system: The Medicaid & Children's Health Insurance Program Budget and Expenditure System (MBES/CBES) collects and stores States' Medicaid budget and expenditure information. The system is used by states to submit budget and expenditure data for the Medicaid & Children's Health Insurance Program to CMS. CMS' Regional Office personnel review the state submissions and enter analysis into the system. All activity is reviewed and certified by CMS Central Office personnel. Summarized data from this information is publicly available on the CMS public website.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: Name: required to access the system and determining system internal application permissions; Email: company email address, required for the purpose of business correspondence.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Rules of least privilege, authorized personnel with approved user Id and password; firewall and intrusion detection, identification badges, key cards and closed circuit tv.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CMCS Medicaid Drug Rebate System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: OMB# 0938-0578, CMS-367a,
Expiration Date: 10/31/2010

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Medicaid Drug Rebate System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Cindy Bergin and Karen Leshko

10. Provide an overview of the system: The Medicaid Drug Rebate (MDR) system is composed of an online and batch system that maintains drug manufacturers' reported product and quarterly price information and State drug utilization data for drugs given to State Medicaid recipients. The system calculates the quarterly Unit Drug Rebates that are then sent to the States for invoicing drug manufacturers each quarter. The system maintains product and (quarterly) pricing data pertaining to outpatient drugs sold by drug companies active in the drug rebate program. This data is used to establish (per dispensing unit) rebate amounts states may apply to the products covered under their Medicaid system in order to request a rebate from the drug companies. This system was established as part of Section 1927 of the Social Security Act (the Act) under OBRA '90.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The Medicaid Drug Rebate (MDR) system is composed of an online and batch system that maintains drug manufacturers' reported product and quarterly price information and State drug utilization data for drugs given to State Medicaid recipients. The system calculates the quarterly Unit Drug Rebates that are then sent to the States for invoicing drug manufacturers each quarter. The system maintains product and (quarterly) pricing data pertaining to outpatient drugs sold by drug companies active in the drug rebate program. This data is used to establish (per dispensing unit) rebate amounts states may apply to the products covered under their Medicaid system in order to request a rebate from the drug companies. This system was established as part of Section 1927 of the Social Security Act (the Act) under OBRA '90. The information is collected quarterly (calendar quarter) from labelers active in the drug rebate program for all FDA-approved drug products that can be dispensed in an outpatient setting. When establishing the system, there were a series of meetings to discuss the minimum data fields needed to complete the task of this program. In order to develop a system to retrieve only those data elements needed, CMS central office, state and drug company personnel were all involved in a comprehensive 2-day meeting.

The data collected is public data information of the providers and various state's contacts that are participating in the Medicaid Rebate program. This data includes mailing addresses, company name, and email addresses. This data being collected is considered PII data but it is not subject to the Privacy Act due to the public accessibility of the data. The submission of the data is mandatory of those participating in the program.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Rules of Least Privilege; Authorized personnel with approved user ID and password; firewall and intrusion detection; Guards; Identification Badges; Key Cards; Closed Circuit TV (CCTV)

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CMCS Medicaid Statistical Information System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): MSIS: 09-70-0541

5. OMB Information Collection Approval Number: MSIS: OMB# 0938-0345

6. Other Identifying Number(s): MSIS: N/A

7. System Name (Align with system Item name): MSIS: Medicaid Statistical Information System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Goldy Austen

10. Provide an overview of the system: MSIS: The primary purpose of MSIS is to establish an accurate, current, and comprehensive database containing standardized enrollment, eligibility, and paid claims of Medicaid beneficiaries to be used for the administration of Medicaid at the federal level, produce statistical reports, support Medicaid related research, and assist in the detection of fraud and abuse in the Medicaid program. Information in this system will also be used to support regulatory and policy functions performed within the agency or by a contractor or consultant, another federal or state agency, agency of a state government, an agency established by state law, or its fiscal agent, support research of policy issues, quality and effectiveness of care, and of epidemiological projects, support constituent requests made to a congressional representative, support litigation involving the agency related to this system of records, and combat fraud and abuse in certain federally funded health care programs.

The MSIS is a system of records to establish an accurate, current, and comprehensive database containing standardized eligibility, enrollment, and paid claims data elements of Medicaid eligible. States are required to report to CMS under section 1903r of the Social Security Act (as amended by §4753 of the Balanced Budget Act of 1997).

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass

through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Census Bureau for state population, Congressional Budget Office, CMS internal components and for analysis and research purposes and organizations operating under an approved Data User Agreement such as the Urban Institute.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: CMS obtains the MSIS identifying information from state Medicaid agencies, through extracts from the Medicaid Management Information Systems maintained by the individual states. These extracts contain the minimum required data elements necessary to support administration of the Medicaid program at the federal level, Medicaid-related research of policy issues, quality and effectiveness of care, and to combat fraud. These extracts are submitted on a quarterly basis in the form of electronic file transfer to CMS where they are copied and protected under the security safeguards in place at the CMS Data Center. States submit 5 quarterly extract files 1) enrollment, 2) inpatient, 3) long term care, 4) prescription drugs, and 5) other claims.

The PII data that is utilized includes the assigned Medicaid identification number, social security number, health insurance claim number, date of birth, gender, ethnicity and race, medical services, equipment, and supplies for which Medicaid reimbursement is requested, and materials used to determine amount of benefits allowable under Medicaid. Information on physicians and other providers of services to the beneficiary consist of an assigned provider identification number, and information used to determine whether a sanction or suspension is warranted.

PII data is collected.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) NO – These processes are spelled out in the provisions of the Privacy Act of 1974 and the MSIS SORN. MSIS and MAX are not required to notify individual beneficiaries of major system changes, changes in data collection or how the information will be used or shared – as long as these provisions are consistent with the currently stated provisions of the SORN.

NO – These processes are spelled out in the provisions of the Privacy Act of 1974 and the MSIS SORN. MSIS and MAX are not required to notify individual beneficiaries of major system changes, changes in data collection or how the information will be used or shared – as long as these provisions are consistent with the currently stated provisions of the SORN.

YES – HIPPA disclosure policy

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Rules of Least Privilege; Authorized personnel with approved user ID and password; firewall and intrusion detection; Guards; Identification Badges; Key Cards; Closed Circuit TV (CCTV)

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CMCS State Plan Amendment and Waiver Tracking System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): State Plan Amendment and Waiver Tracking System (SPW)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Theresa Pratt

10. Provide an overview of the system: SPW: The State Plan Amendment and Waiver Tracking System (SPW) is an information tracking system that

tracks State Plan Amendments and Waivers from their initial submittal to their final determination in a

common format and Central Office database. This system tracks the following: State Plan Amendments

(SPA), PACE SPAs, CHIP SPAs, 1115 waivers, 1115 Independence Plus waivers, 1915(b) waivers, 1915(c)

wavers, and 1915(c) Independence Plus wavers.

SPW was developed as an information system to track State plan amendments (SPAs) and wavers on

clocks from their initial submittal to their final determination. The legislative authority for wavers can be

found at section 1915(b) and (c) of the Social Security Act. Regulations at section 42 CFR 430.16(a) provides

authority for action to be taken by CMS on State plan amendments.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether

provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: SPW: Name: required only when requesting update access to the system, not required/necessary to access the system / browse the data. Purpose: determining system internal application permissions.

No IIF data subject to the Privacy Act is collected.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: SPW: Rules of Least Privilege; Authorized personnel with approved user ID and password; firewall and intrusion detection; Guards; Identification Badges; Key Cards; Closed Circuit TV (CCTV)

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Fraud Investigation Database [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0527 (FID)

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Fraud Investigation Database (FID)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Olga Vaysman

10. Provide an overview of the system: FID: The Fraud Investigation Database (FID) is a nationwide data entry and reporting system run out of the Centers for Medicare & Medicaid Services (CMS) Data Center that allows CMS to monitor fraudulent activity and payment suspensions related to Medicare and Medicaid providers. The FID was designed to capture information on investigations of potential Medicare or Medicaid fraud, fraud and abuse cases that have been referred to law enforcement and payment suspensions that have been imposed on Medicare providers. The FID also provides reporting capabilities on the data captured in the system. Medicare contractors, Medicaid State Agencies (MSA), Law Enforcement (LE) Agencies, Provider Enrollment (PE), Medicaid Fraud Control Unit (MFCU), and CMS Central Office (CO) and Regional Office (RO) staff currently have access to the FID. The objective of the FID is to reduce and prevent fraudulent activities and subsequently aid in safeguarding the Medicare Trust Fund and Medicaid expenditures. The FID enables CMS and its partners to:

§ Track fraud cases as they move through development to final disposition

§ Track provider payment suspensions from the imposition to removal

§ Identify emerging fraud issues on a national and regional level

§ Improve the prevention and detection of fraud and abuse in the Medicare and Medicaid programs

§ Emphasize and promote teamwork among all partners in program integrity

§ Provide flexibility to enable all partners and users to appropriately allocate their resources to those issues and geographical areas experiencing high incidences of fraud

§ Improve CMS' and its partners' abilities to educate each other and its customers of potential scams, successful actions and dispositions, overpayment recoveries, and prosecutions

CMS has undertaken the application conversion and standardization effort for converting the FID system from a client-server based application to a web-based J2EE application, in alignment with

the Office of Information Services' (OIS) initiative to migrate all CMS systems to Java-based technologies. CGI Federal will re-architect the existing client-server FID application to a web-based application on a J2EE platform. The new FID application will be compliant with the OIS' 3-zone architecture and will provide a more robust and secure system to the users. The redesigned web application will comply with Section 508 guidelines, as applicable and also support true multi factor authentication using Anakam.TFATM for improved security.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Yes : Shares information with OIG/DHHS, DOJ, FBI, Medicaid PI directors, Medicare fraud control units.

PURPOSE: To track specific case development and trends in Medicare fraud.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: (1)The FID gathers Personally Identifiable Information (PII) directly entered by Medicare Contractors.

Captured data may include one or more of the followings: SSN, NPI, Provider Number, Supplier Number, CLIA Number, TIN, EIN.

There is no live data feed or interactions with other CMS applications.

(2)The agency accumulates information on cases of potential Medicare fee-for-service fraud and on payment suspensions.

(3) Yes

(4) PII submission is MANDATORY

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The FID information is entered by one of the following

two groups: Medicare program safeguard contractors and Medicare Durable Medical Equipment Regional Carrier benefit integrity units. By its nature, the subjects of potential fraud investigations are not generally advised that they are under scrutiny. The information itself is information that a Medicare carrier or intermediary would maintain on a provider or supplier that has billed the Medicare program for reimbursement, and includes all available identifying pieces of information given by that provider or supplier on their enrollment application and/or their bill or claim for payment. Information in the FID could also include summary of findings from Medical or other review of submitted and/or paid claims.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Users need a valid CMS user id and password to access the system. User ids and passwords are authenticated through CMS. In addition, systems users are required to enter a one-time password (OTP) to complete the login process through the Anakam TFA Multi-factor Authentication system.

Normal CMS Data Center physical security applies to all systems. Additionally FID users need a valid CMS user id and password to access the system. User ids and passwords are authenticated through CMS's Enterprise LDAP and Anakam TFA software.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Health Care Information System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 5/3/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0532

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): No

7. System Name (Align with system Item name): Health Care Information System/Health Care Information System Modernization (HCIS/HCISMod)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: John Stewart

10. Provide an overview of the system: HCIS/HCISMod is a multi-dimensional software application that provides an easy-to-use access path for non-programmers to manipulate Medicare data into information. HCIS provides Graphical User Interface (GUI) views and reports on the different types of Medicare services.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: Provider Enrollment

information is maintained in HCIS, including provider name, state of origin, mailing address, and HCIS data which is passed through from other CMS systems. HCIS/HCISMod is a multi-dimensional software application that provides an easy-to-use access path for non-programmers to manipulate Medicare data into information. HCIS provides Graphical User Interface (GUI) views and reports on the different types of Medicare services. The data that the system acquires includes PII data. Submission of the data is voluntary in order to create the reporting that is generated by this system.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) No

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: NA

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Medicaid Integrity Group Data Engine System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0599

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Medicaid Integrity Group Data Engine System (MIG DES)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: William Yurcik

10. Provide an overview of the system: The MIG Data Engine is a data repository for Medicaid claims and associated data. The system will support the analysis of provider claims to help detect fraud, waste, and abuse within the Medicaid program.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): PII data will be accessible to Medicaid Integrity group analysts and Medicaid Integrity contractor analysts for analytical fraud, waste, and abuse detection.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The PII, which includes

Medicaid beneficiary and provider data that includes their name, SSN, DOB, medical record numbers, phone numbers, etc., is collected by States and jurisdictions as part of their Medicaid Programs for the purpose of eliminating improper payments within the Medicaid Program.

Fifty states, the District of Columbia, and US territories collect Medicaid payment data for analytical purposes in order to determine potential improper payments and may be shared with auditors for the purpose of initiating audits of paid claims. Medicaid claims data contains PII which is mandatory to be submitted to Medicaid systems. Fifty states, the District of Columbia, and US territories collect PII as part of Medicaid payment data, the MIG Data Engine is not the collector of PII.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The system in question is not an original collector of PII data so obtaining consent is not applicable.

The data in the system in question is being used for analysis of provider claims in order to detect fraud, waste, and abuse within Medicaid programs.

The processes and procedures to notify individuals whose PH in the Data Engine System may have been disclosed follow the "CMS Guide for the Incident Reporting Process (December 2010)". Per this document, any incident involving PH on the MIG Data Engine should be reported to the CMS IT Service Desk which serves as the initial point of contact 24 hours x 7 days a week x 365 days a year <<cms_icservice_desk@cms.hhs.gov> 800-562-1963). The IT Service Desk forwards information to the CMS Computer Security Incident Response Team (CSIRT) which performs risk assessment with Pre-Breach Analysis Team Triage and a Breach Analysis Team (BAT). If the CSIRT identifies a PH breach as High Risk/Profile then the CMS CISA is alerted.

The CMS Office of E-Health Standards and Services (OESS) is responsible for overall management of PH breach notification including drafting model breach notification letters in plain language and working with the Office of Financial Management (OFM) to establish and implement a credit protection monitoring program for those at risk of financial harm. To notify individuals whose PII in the system may have been disclosed, OESS coordinates breach notification with the Business Owner on a case-by-case basis and provides copy of a letter to OEABS for Call Center customer service representatives to supplement general breach script for addressing specific inquiries on a particular breach. In PH breaches involving more than 500 residents of a State or jurisdiction, OESS notifies prominent media outlets serving the State or jurisdiction. For State Medicaid data stored on the MIG Data Engine, under Public Law 104-191 known as the Health Insurance Portability and Accountability Act of 1996 (HIPAA), each state must have a process to report PH breaches. In addition to

this HIPM requirement, a State should immediately report a PII breach to the Director of the Division of State Systems at eMS.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Information in identifiable form (IIF) is secured using a layered “Defense in Depth” model.

Administrative:

- Prior to being granted access to IIF data, all personnel must be confirmed to have the need for access, a background and credit check, receive a user briefing and sign the user agreement.
- No user will be added to the access list or have accounts created until each of these requirements has been met.
- When an existing user discontinues employment, access to the system is disabled, the user is de-briefed and the termination is noted on the access list.
- System/IDS/IPS logs are maintained and audited daily

Technical:

The technical controls in place to protect IIF include:

- Secure transmission protocols
 - o During transmittal, a FIPS compliant encrypted tunnel is utilized.
 - o When data is sent via non-electronic means (I.E. Tape), the data is encrypted prior to being sent, it shipped using a sealed container and is tracked.
- Multi-layer systems architecture separating the presentation, application and data layers
- Firewalls and IDS sensors at each layer
- Best practice system hardening at the OS level
- Multiple layers of authentication/authorization including the use of a VPN and SecureID tokens.
- System logging
 - o User login, logout, and attempted access to security related files are monitored.
- Timeouts for idle sessions are in place.
- Intrusion Detection and Intrusion Prevention devices are in place.
- System patching procedures are in place and performed only after approval by a change control board (CCB) and prior testing on non-production systems

- Scheduled secure backups of the system are performed

Physical:

- The system is in a locked area
- Access to the closed area is monitored via camera
- All entry to the secure area is logged
- Visitors are required to be escorted at all times

Removable media with sensitive data will be stored in a locked cabinet within the closed area

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Medicare Exclusion Database [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0534 (MED)

5. OMB Information Collection Approval Number: MED: OFM 907

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Medicare Exclusion Database (MED)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Courtney Diamond

10. Provide an overview of the system: MED: MED receives excluded provider data from OIG each month. The data is formatted and verified, and then distributed to all CMS contractors in accordance with sections 1128A & B and 1162(e) of the Social Security Act.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
MED: Carriers, FI's, States, PSC's, and Medicare Advantage Players – to identify and refuse payment to excluded providers.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: MED: The only data taken from the OIG file is the data required to uniquely identify the provider in order to exclude the

correct individual (name, SSN, DOB), as well as the pertinent exclusion data. The primary purpose of this system is to collect and maintain information on individuals that have been excluded from receiving Medicare payments for any item or service furnished during the period when excluded from participation in the Medicare program. The data includes PII information. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) MED: All of the data and information comes from OIG. They provide MED with a file, and Team MED pulls of the data that is required to identify an excluded provider.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: MED: The data is housed on the CMS mainframe, and is subject to standard CMS Data Center security policy.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI National Plan and Provider Enumeration System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0008

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): National Plan and Provider Enumeration System (NPPES)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Courtney Diamond

10. Provide an overview of the system: NPPES: This initiative was mandated by the administrative simplification provisions of P.L. 104-191, the Health Insurance Portability and Accountability Act of 1996 (HIPAA). HIPAA mandates the adoption of a standard health care provider identifier and its assignment to every health care provider that transacts electronically any of the transactions specified in that law.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
NPPES: Health plans as required by regulations, other federal agencies as described by SOR. In May 2007, NPPES made all data (excluding the SSN and DOB) available in a downloadable file. This follows FOIA requirements. A file with DOB is only available to those who have an approved DUA with CMS and only when the SSN and name of the provider is supplied and matches what is in NPPES.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: NPPES: The system contains a unique identifier for each health care provider (the NPI, which is assigned by the NPS) along with other information about the provider. This information includes other identifiers, name(s), demographic, educational/professional data, and business address data. Only information required for establishing the identity of the health care provider will be collected. The information to be collected was issued in a Notice of Proposed Rulemaking in 1998, and unnecessary data was eliminated in response to comments. In May 2007, NPPES made all data (excluding the SSN and DOB) available in a downloadable file. This follows FOIA requirements. A file with DOB is only available to those who have an approved DUA with CMS and only when the SSN and name of the provider is supplied and matches what is in NPPES. The submission of PII is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) NPPES: Information collected via the NPPES web site (internet) or paper application. Notification of NPI given via e-mail (if application was via web) or paper letter if application was via paper. Information is provided on the paper form and on the web screens regarding the Certification Statement and the Privacy Act Statement. Information is provided on the paper form and on the web screens regarding the Certification Statement and the Privacy Act Statement.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: NPPES: Users can get to their NPPES information via a valid user id and password. See the NPPES SSP for more information on system security.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI National Provider Identifier Crosswalk System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0008

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): National Provider Identifier Crosswalk Application System (NPICS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Patricia Ruther

10. Provide an overview of the system: The purpose of the NPI Crosswalk System (NPICS) is to support the Health Insurance Portability and Accountability Act of 1996 (HIPAA) mandate that the Secretary of Health and Human Services (HHS) adopt a standard unique health identifier for health care providers, otherwise known as the National Provider Identifier (NPI). The NPI will ultimately replace many existing provider identifiers – national, state and proprietary identifiers. The standard will require that one, ten-digit NPI number be assigned by the NPI “Enumerator” through the National Provider and Plan Enumeration System (NPPES). In order to implement this standard, CMS must be able to cross-refer (crosswalk) a provider identified by an NPI to master provider records linked to other identifiers, and housed in the Medicare claims processing system. The cross-reference supports one legacy identifier represented by more than one NPI and one NPI represented by more than one legacy identifier. For example, covered organization health care providers may be comprised of components, e.g., an acute care hospital with a skilled nursing facility, or have separate physical locations, e.g., chain pharmacies that provide healthcare. Organizational providers may delineate component “sub-parts” which may obtain separate NPIs. However, neither the NPI number itself or NPPES links the subpart NPIs to the “parent” NPI. For this reason, one provider may have multiple NPIs and legacy identifiers that must be matched.

The NPICS supports CMS organizational needs to process and report Medicare claims; perform medical, accuracy, and utilization reviews; beneficiary benefit identification; managed care beneficiary enrollment; research; quality of care assessment; and detect fraud waste and abuse.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system.

This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): NPICS collects data and creates extract files containing PII that are transmitted back to Medicare FFS claims processing systems [MCS –Medicare B standard claims processing system, FISS – Medicare A standard claims processing system, VMS – DMERC standard claims processing system, and Common Working File (CWF)], NPPES, and to downstream CMS systems for use in analysis.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: NPICS receives flat files from source (upstream) systems. The nine file types include Part A, Part B Individual, Part B Organization, DMERC Individual, DMERC Organization, and NPPES,. NPICS will load the data into the Oracle database and attempt to match NPIs to legacy identifiers. Extract files are created with successful matches and pushed to the appropriate destination. FFS Contractors will receive extract files from NPICS daily which are used for claims processing. Downstream users will receive extract files from NPICS which are used to perform analysis on provider/claim data received from other CMS systems. These files will be aligned with the legacy number types (PIN, OSCAR, NSC, etc.) and will contain all NPI Crosswalk data for that type. Once created, the files will be transmitted to the appropriate destination using Connect:Direct and the Store and Forward process. The OSCAR Part A Downstream extract is produced daily and weekly, and all other types of files are produced weekly. NPICS provides the capability to match NPIs to legacy identifiers. This satisfies the HIPAA mandate explained in Section 10, and NPICS data is used in: FFS Medicare systems processing claims; NPICS downstream systems providing analysis on provider/claim data received from other CMS systems; HIPPA Eligibility Transaction System (HETS) Provider GUI assisting clearinghouse to validate Medicare Legacy Provider and NPI numbers; NPPES assigning NPI numbers to providers; and PECOS allowing providers to identify legacy to NPI matches. Data included in these files include Provider ID, NPI, EIN, SSN, DOB, Address, Speciality, and Phone Numbers. CMS Business requirements determine the type of data contained in the files. The submission of PII data is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) CMS would be required to provide updated Notices of

Privacy Practices as would the source systems. Not required as this information is covered by HIPAA under TPO

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Data is transmitted to NPICS via Connect:Direct over the CMS private network (a.k.a. CMSNet). CMSNet is a private network utilizing MPLS technology. Extract files are sent from the NPICS database to the mainframe via Secure FTP and to downstream users using Connect:Direct. The Business Process and Data Management applications use SSL encryption to ensure the data is transmitted securely via web-browser over CMSNet.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI OIG Hotline [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? Yes

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0527

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Office of Inspector General Hotline Database (OIGHTLN)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Brian Petry / RJ Sheehan

10. Provide an overview of the system: The OIGHTLN is used to store allegations of fraud, waste, and abuse (FWA) of the Medicare program; allegations may come from Medicare beneficiaries, Medicare providers and suppliers, and the public generally. Allegations allege fraud, waste, and abuse committed by Medicare providers and suppliers, beneficiaries, and may also include allegations of impropriety committed by CMS employees and CMS contractors. The OIGHTLN is important because it gives people a venue for reporting FWA of the Medicare program and alerts CMS and its contractors to potential FWA. System users, primarily Medicare contractors, use the OIGHTLN to identify potential bad actors in the Medicare program, based on the complaints contained therein.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
The System shares or discloses PII with CMS and CMS Contractors for the purposes of helping

CMS and its Contractors identify individuals who may be engaged in FWA of the Medicare program.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: (1) CMS collects, maintains, and disseminates the following information on the OIGHTLN: Beneficiary name, address, phone number; Provider/Supplier name, address, phone number; Comments summarizing allegation(s); hardcopy attachments that may include any of the following: Social Security Numbers and HICNs, medical histories, criminal or employment histories, and other information that can be used to distinguish or trace an individual's identity. (2) CMS and CMS Contractors will use this information for the purpose of conducting preliminary investigations into FWA allegations against the Medicare program. (3) The information may contain PII, especially the hardcopy attachments that accompany many of the complaints. (4) Submission of personal information to the OIGHTLN is voluntary.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) (1) To the best of my knowledge, there is no effort on the part of CMS to "obtain consent from individuals whose PII is in the system when major changes occur to the system..." (2) There are no processes in place to "notify and obtain consent from individuals what PII is being collected from them." (3) The information is used and shared by CMS and its Contractors by their accessing the OIGHTLN database. Once in the database, they can retrieve complaint information and update that information to indicate the manner in which the complaint is being/has been addressed. For example, it could be closed, an overpayment could be demanded, it could be referred to a CMS Contractor for further investigation, or an administrative action could be taken.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: PII is secured on the OIGHTLN by limiting access to authorized users only. Potential users request access through a RACF administrator or the CMS Enterprise User Access (EUA) system. Access authentication is controlled by password/ID through different layers: AT&T Global Networking Services (AGNS) and Citrix Metaframe or CMS Application Portal and Citrix Metaframe. Also, the system maintainer maintains users' names and Ids. These safeguards prevent unauthorized individuals from

viewing any PII on the OIGHTLN. Further, authorized users are obliged to comply with rules and regulations regarding the safeguarding and handling of PII.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen T

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Payment Safeguard Contractors - Cahaba [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision:

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): System of Records Number: 09-70-501 (Carrier Medicare Claims Records System - Routine Use 1) and 09-70-503 (Intermediary Medicare Claims Records System - Routine Use 1)

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): PAYMENT SAFEGUARD CONTRACTORS - CAHABA System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Kimberly Brandt

10. Provide an overview of the system: The PAYMENT SAFEGUARD CONTRACTORS - CAHABA System provides the claims, provider, and beneficiary information needed to detect fraud, waste, and abuse in the Medicare FFS program.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Yes: Law Enforcement assessment of civil and criminal penalties

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The PAYMENT SAFEGUARD CONTRACTORS - CAHABA System receives claims, provider, and beneficiary data for Medicare. The information is used to detect and prevent fraud, waste, and abuse in the Medicare FFS program. The system contains IIF. Provision of information to the systems from which

Payment Safeguard Contractors - Cahaba gets the information is mandatory to receive Medicare benefits.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Notice is given to individuals whose data is in the Medicare sources that feed the PAYMENT SAFEGUARD CONTRACTORS - CAHABA System through Federal Register SOR notices.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The PAYMENT SAFEGUARD CONTRACTORS - CAHABA System operates behind secure firewalls on the CMS WAN and is housed at physically secure sites. BPSSM requirements are followed.

Only registered users can access the data.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Payment Safeguard Contractors - IntegriGuard [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision:

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): System of Records Number: 09-70-501 (Carrier Medicare Claims Records System - Routine Use 1) and 09-70-503 (Intermediary Medicare Claims Records System - Routine Use 1)

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): PROGRAM SAFEGUARD CONTRACTOR (PSC) - IntegriGuard, LLC

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Gary Carson

10. Provide an overview of the system: The PROGRAM SAFEGUARD CONTRACTOR (PSC) - IntegriGuard, LLC provides the claims, provider, and beneficiary information needed to detect fraud, waste, and abuse in the Medicare FFS program.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Law enforcement – assessment of civil and criminal penalties

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The PROGRAM SAFEGUARD CONTRACTOR (PSC) - IntegriGuard, LLC receives claims, provider, and beneficiary data for Medicare. The information is used to detect and prevent fraud, waste, and abuse in the Medicare FFS program. The system contains IIF. Provision of information to the systems from which the PROGRAM SAFEGUARD CONTRACTOR (PSC) – IntegriGuard, LLC gets the information is mandatory to receive Medicare benefits.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] Notice is given to individuals whose data is in the Medicare sources that feed the PROGRAM SAFEGUARD CONTRACTOR (PSC) - IntegriGuard, LLC through Federal Register SOR notices.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Only authorized users can access the data, applications, resources, facilities, security rooms, etc.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Payment Safeguard Contractors - Safeguard Services [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Not Applicable

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): System of Records Number: 09-70-501 (Carrier Medicare Claims Records System - Routine Use 1) and 09-70-503 (Intermediary Medicare Claims Records System - Routine Use 1)

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): n/a

7. System Name (Align with system Item name): PAYMENT SAFEGUARD CONTRACTORS - SAFEGUARD SERVICES System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: James G. King

10. Provide an overview of the system: The PAYMENT SAFEGUARD CONTRACTORS - SAFEGUARD SERVICES System provides the claims, provider, and beneficiary information needed to detect fraud, waste, and abuse in the Medicare FFS program.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Yes: Law Enforcement assessment of civil and criminal penalties

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The PAYMENT SAFEGUARD CONTRACTORS - SAFEGUARD SERVICES System collect and analyze operational data from Medicare contractors across the country for use in detecting and preventing fraud, abuse, and waste in the Medicare FFS program.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Information is obtained directly from Medicare contractors' claims processing systems and from tap files on NCH feeds. Medicare beneficiaries sign a privacy act notice when they become eligible for Medicare that informs them that information they provide to justify payments will be used to determine the appropriateness of payment.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The PAYMENT SAFEGUARD CONTRACTORS - SAFEGUARD SERVICES System operates behind secure firewalls on the CMS WAN and is housed at physically secure sites. BPSSM requirements are followed.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Payment Safeguard Contractors - TriCenturion [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision:

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): System of Records Number: 09-70-501 (Carrier Medicare Claims Records System - Routine Use 1) and 09-70-503 (Intermediary Medicare Claims Records System - Routine Use 1)

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): PAYMENT SAFEGUARD CONTRACTOR - TRICENTURION System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: John Coughlin

10. Provide an overview of the system: The PAYMENT SAFEGUARD CONTRACTOR - TRICENTURION System provides the claims, provider, and beneficiary information needed to detect fraud, waste, and abuse in the Medicare FFS program.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Yes: Law enforcement – assessment of civil and criminal penalties

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The PAYMENT SAFEGUARD CONTRACTOR - TRICENTURION System receives claims, provider, and beneficiary data for Medicare. The information is used to detect and prevent fraud, waste, and abuse in the Medicare FFS program. The system contains IIF. Provision of information to the systems from which

Payment Safeguard Contractors - TriCenturion

gets the information is mandatory to receive Medicare benefits.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Notice is given to individuals whose data is in the Medicare sources that feed the PAYMENT SAFEGUARD CONTRACTOR - TRICENTURION System through Federal Register SOR notices.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The PAYMENT SAFEGUARD CONTRACTOR - TRICENTURION System operates behind secure firewalls on the CMS WAN and is housed at physically secure sites. BPSSM requirements are followed.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Payment Safeguard Contractors - Trustsolutions [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision:

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): System of Records Number: 09-70-501 (Carrier Medicare Claims Records System - Routine Use 1) and 09-70-503 (Intermediary Medicare Claims Records System - Routine Use 1)

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): PROGRAM SAFEGUARD CONTRACTORS - TRUSTSOLUTIONS System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Kimberly Brandt

10. Provide an overview of the system: The PROGRAM SAFEGUARD CONTRACTORS - TRUSTSOLUTIONS System provides the claims, provider, and beneficiary information needed to detect fraud, waste, and abuse in the Medicare FFS program.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Yes: Law Enforcement

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The PROGRAM SAFEGUARD CONTRACTORS - TRUSTSOLUTIONS System receives claims, provider, and beneficiary data for Medicare. The information is used to detect and prevent fraud, waste, and abuse in the Medicare FFS program. The system contains IIF. Provision of information to the systems from which PROGRAM SAFEGUARD Contractors - Trustsolutions gets the information is mandatory to receive Medicare benefits.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Notice is given to individuals whose data is in the Medicare sources that feed the PROGRAM SAFEGUARD CONTRACTORS - TRUSTSOLUTIONS System through Federal Register SOR notices.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Only registered users can access the data. The PROGRAM SAFEGUARD CONTRACTORS - TRUSTSOLUTIONS System operates behind secure firewalls on the CMS WAN and is housed at physically secure sites. BPSSM requirements are followed.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Provider Enrollment Chain and Ownership System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0532 (PECOS)

5. OMB Information Collection Approval Number: PECOS: 0938-01056 (855S) and 0938-0685 (855 A, B I and R) (03/31/2012)

6. Other Identifying Number(s): Computer matching agreement between CMS and SSA for PECOS: CMA 2001-05

7. System Name (Align with system Item name): Provider Enrollment Chain Ownership System (PECOS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Lisa Beylis

10. Provide an overview of the system: The Medicare Federal Health Care Provider/Supplier Enrollment Application (CMS 855A, 855B, 855I, 855R, and 855S) has been designed by the Centers for Medicare and Medicaid Services (CMS) to assist in the administration of the Medicare program and to ensure that the Medicare program is in compliance with all regulatory requirements. The information collected in this application will be stored in the Provider Enrollment, Chain and Ownership System and used to ensure that payments made from the Medicare trust fund are only paid to qualified health care providers, and that the amounts of the payments are correct. The Centers for Medicare and Medicaid Services (CMS) is authorized to collect the information requested on this form by sections 1124(a)(1), 1124A(a)(3), 1128, 1814, 1815, 1833(e), and 1842(r) of the Social Security Act [42 U.S.C. §§ 1320a-3(a)(1), 1320a-7, 1395f, 1395g, 1395(l)(e), and 1395u(r)] and section 31001(1) of the Debt Collection Improvement Act [31 U.S.C. § 7701(c)]. The OMB approval number for this information collection is 0938-0685, and is renewed each time changes are made to the information collected.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass

through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
MCS & FISS claims payment system – to populate the claims system provider files. NPPES – to verify NPIs. SSA – to verify SSNs. Medicare Contractors, CMS Central Office, CMS Regional Office – to enter and/or view provider/supplier enrollment data.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The Medicare Federal Health Care Provider/Supplier Enrollment Application (CMS 855A, 855B, 855I, 855R, and 855S) has been designed by the Centers for Medicare and Medicaid Services (CMS) to assist in the administration of the Medicare program and to ensure that the Medicare program is in compliance with all regulatory requirements. The information collected in this application, including name, DOB, EIN and SSN if applicable, will be used to ensure that payments made from the Medicare trust fund are only paid to qualified health care providers, and that the amounts of the payments are correct. This information will also identify whether the provider is qualified to render health care services and/or furnish supplies to Medicare beneficiaries. To accomplish this, Medicare must know basic identifying and qualifying information about the health care provider that is seeking billing privileges in the Medicare program. Medicare needs to know: (1) the type of health care provider enrolling, (2) what qualifies this provider as a health care related provider of services and/or supplies, (3) where this provider intends to render these services and/or furnish supplies, and (4) those persons or entities with an ownership interest, or managerial control, as defined in this application, over the provider. The data includes PII information of providers. The submission of PII data is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] The information will be collected from all health care providers and suppliers who render services or supplies to Medicare beneficiaries and bill the Medicare program for those services and supplies. This information will be collected via the completion of the CMS 855, Provider/Supplier Enrollment Application. All of this information is conveyed to the providers of the information in writing directly on the CMS 855 and in the certification signature page of the form.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Users need a valid CMS user id and password to access the system. User ids and passwords are authenticated through CMS.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Zoned Program Integrity Contractors Zone 4 - HealthIntegrity [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision:

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): System of Records Number: 09-70-501 (Carrier Medicare Claims Records System - Routine Use 1) and 09-70-503 (Intermediary Medicare Claims Records System - Routine Use 1)

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): ZONED PROGRAM INTEGRITY CONTRACTORS - SAFEGUARD SERVICES System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: James King

10. Provide an overview of the system: The ZONED PROGRAM INTEGRITY CONTRACTORS - SAFEGUARD SERVICES System provides the claims, provider, and beneficiary information needed to detect fraud, waste, and abuse in the Medicare FFS program.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Yes: Law Enforcement assessment of civil and criminal penalties

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: The ZONED PROGRAM INTEGRITY CONTRACTORS - SAFEGUARD SERVICES System collects and analyzes operational data from Medicare contractors across the country for use in detecting and preventing fraud, abuse, and waste in the Medicare FFS program. This data includes PII data including name, DOB, SSN, mailing addresses, phone numbers, financial information, and patient ID numbers. The submission of this data is mandatory as part of the Medicare program.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Information is obtained directly from Medicare contractors' claims processing systems and from tap files on NCH feeds. Medicare beneficiaries sign a privacy act notice when they become eligible for Medicare that informs them that information they provide to justify payments will be used to determine the appropriateness of payment.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The ZONED PROGRAM INTEGRITY CONTRACTORS - SAFEGUARD SERVICES System operates behind secure firewalls on the CMS WAN and is housed at physically secure sites. BPSSM requirements are followed.

Only registered users can access the data.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS CPI Zoned Program Integrity Contractors Zone 7- Safeguard Services [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision:

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): System of Records Number: 09-70-501 (Carrier Medicare Claims Records System - Routine Use 1) and 09-70-503 (Intermediary Medicare Claims Records System - Routine Use 1)

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): ZONED PROGRAM INTEGRITY CONTRACTORS - HEALTHINTEGRITY System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Shannon Wolfe

10. Provide an overview of the system: The ZONED PROGRAM INTEGRITY CONTRACTORS – HEALTH INTEGRITY System hosts claims, provider, beneficiary information, and applications needed to detect fraud, waste, and abuse in the Medicare FFS program.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Yes: Law Enforcement (Fraud Investigations)

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The ZONED PROGRAM INTEGRITY CONTRACTORS - HEALTHINTEGRITY System receives claims, provider, and beneficiary data for Medicare. The information is used to detect and prevent fraud, waste, and abuse in the Medicare FFS program. The system contains PII, including name, DOB, SSN, mailing address, phone numbers, financial information, and HICN. Provision of information to the systems from which

ZONED PROGRAM INTEGRITY CONTRACTORS – HEALTH INTEGRITY gets the information is mandatory to receive Medicare benefits.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Information is obtained directly from Medicare contractors' claims processing systems and from tape files on NCH feeds. Medicare beneficiaries sign a privacy act notice when they become eligible for Medicare that informs them that information they provide to justify payments will be used to determine the appropriateness of payment. Notice is given to individuals whose data is in the Medicare sources that feed the ZONED PROGRAM INTEGRITY CONTRACTORS – HEALTH INTEGRITY System through Federal Register SOR notices.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The ZONED PROGRAM INTEGRITY CONTRACTORS – HEALTH INTEGRITY System operates behind secure firewalls on the CMS WAN and is housed at physically secure sites. BPSSM and FISMA requirements are followed. A systems security plan details controls for the 17 FISMA families of controls. Controls include firewalls, IDS, network authentication, file based permissions, application level permissions; event monitoring, change control procedures, minimum system security standards (baselines/hardening); anti-virus, encryption, patch management; network level hardening (AD group policy). Physical security controls include visitor sign-in requirement, keycard requirement, physical intrusion detection, video cameras, employees must wear badges; perimeter doors are locked after hours; containers and rooms containing PII are protected by dual barriers (perimeter walls, interior walls or metal locked containers; any data leaving data center must be encrypted.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders
Sr. Official for Privacy Approval: Promote
Sr. Official for Privacy Name: Karen Trudel
Sign-off Date: 6/30/2011
Approved for Web Publishing: Yes
Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS IT Infrastructure IS PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/26/2009

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number: 009-38-01-04-01-1160-00 009-38-01-09-01-1120-00 009-38-02-00-01-1150-00

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0538

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CMS IT Infrastructure

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Ed Gray

10. Provide an overview of the system: As a part of the Medicare Modernization Initiative, CMS is changing the way that it does its Medicare claims business. The Medicare Administrative Contracts are being awarded to migrate the traditional fee-for-service Title XVIII contracts over to Federal Acquisition Regulation contracts. Additionally, CMS is taking ownership of the data processing portion of this business its award of the Enterprise Data Center (EDC) contract in March 10, 2006. This contract will migrate the workloads and Medicare Claims processing systems that are currently running at 14 Medicare data centers in different physical locations to one of the three EDC contractors, (CDS' Cloumbia SC Data Center, EDS' Tulsa Chrokee Data Center and IBM's Southbury Data Center.)

Additionally, this site now supports CMS' web hosting application, (e.g., Medicare.gov, cms.hhs.gov. and HPMS). This GSS does not directly collect, maintain, or disseminate information. It provides platform support infrastructure for other CMS MA's to perform their function.

Part A Shared System: Hospital insurance claims process through the Fiscal Intermediaries Shared System, which performs claims processing and benefit payment functions for institutional providers under Parts A and B of the program.

Part B Shared System: The Part B Shared System supports the processing of Medicare Part B claims, Medicare Part B is supplemental medical insurance, which covers physician services and other outpatient services. The Shared System for Part B Medicare in the Multi Carrier System. Medicare Part B claims processing contractors are known as Carriers, and include the Railroad

Retirement Board. They process physician and supplier claims provided under Medicare Part B coverage.

Durable Medicare Equipment Regional Contractor Shared System: CMS has designated four carriers to have exclusive responsibility for handling Medicare Part B claims, for Durable Medicare Equipment Prosthetics, Orthotics, and Supplies claims in specific geographic regions of the United States. They are commonly referred to as the DMERCs. The selected DMERCs currently use the VMS DME Shared system to process DMEPOS claims. This GSS provides compute platforms, telecommunications, electronic storage infrastructure, and operations support services for the collection, maintenance, and access of data and information to support the business functions of CMS.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Information is shared to verify patient data between Medicare Supplemental Insurers, if necessary, as well as entitlement and accuracy of payment.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: This information is used to process claims and payments for the Medicare Program beneficiaries. Submission of this information is mandatory and includes IIF. The agency through Medicare contractors and beneficiaries collects information through CMS forms CMS-1450 and CMS-1500. These are OMB approved forms. Information is collected primarily through electronic means.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Information is collected from two CMS forms, the 1450 and 1500. All Medicare Claims Processing Contractors are called 'satellites' under CWF. Satellites access the HOST CWF databases to obtain needed beneficiary information. Satellites

submit claims to the CWF Host for prepayment review and approval. Medicare beneficiaries are provided healthcare services where their personal information is collected and required for payment and reimbursement purposes. Beneficiaries receive HIPAA disclosure information by providers and Medicare directly. A complaint process is in place for individuals to raise their privacy concerns.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?: No

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The Medicare Claims Processing Systems incorporate a variety of security measures to protect PII. These include physical, administrative, and technical.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/26/2009

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OACT Health Care Cost Report Information System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): FMIB #415

7. System Name (Align with system Item name): HCRIS: Healthcare Cost Report Information System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Christy Cornell

10. Provide an overview of the system: HCRIS: The Healthcare Cost Report Information System is an Oracle data base system containing cost report information from hospitals, SNFs, HHAs, hospices and renal providers. The reports are submitted by the fiscal intermediaries on a daily basis.

HCRIS collects Hospital, SNF, Renal Dialysis Facility, HHA, Hospice, FQHC/RHC, and CMHC cost report information.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
There is no PII data.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: HCRIS pertains to the providers' cost of doing business and various medical expenses. There is no PII data

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) There is no PII data.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: There is no PII data.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OACT Medicare Actuarial Data System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): MADS- Medicare Actuarial Data Systems

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Rason Taru

10. Provide an overview of the system: Medicare Actuarial Data System (MADS) –

The Medicare Actuarial Data Systems (MADS) incorporates monthly summarized Part A and quarterly summarized Part B data in relational statistical tables.

The legislation authorizing this activity is OMB Circular A-130.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: N/A

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: MADS is run in the CMS data center.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OCSQ Consolidated Renal Operations in a Web-Enabled Environment [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0520

5. OMB Information Collection Approval Number: 0938-0658

6. Other Identifying Number(s): Consolidated Renal Operations in a Web-Enabled Network (CROWN)

7. System Name (Align with system Item name): Consolidated Renal Operations of a Web-Enabled Network (CROWN)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Debbra Hattery

10. Provide an overview of the system: The Consolidated Renal Operations in a Web-enabled Network (CROWN) will facilitate the collection and maintenance of information about the Medicare End Stage Renal Disease (ESRD) program.

CROWN is being developed to modernize the collection and retrieval of ESRD data in a secure, Web-enabled environment. The new capabilities will allow dialysis facilities to enter information electronically and transmit it to the appropriate ESRD Network, and CMS also will be able to send feedback to the Networks and the facilities through the new environment. CROWN consists of the following major modules:

The Vital Information System to Improve Outcomes in Nephrology (VISION), which will support electronic data entry and encrypted transmission of ESRD patient and facility data from dialysis facilities.

The ESRD Standard Information Management System (SIMS) supports the business processes of the ESRD Network Organizations. The Renal Management Information System (REMIS), which determines the Medicare coverage periods for ESRD patients and serves as the primary mechanism to store and access ESRD patient and facility information.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the

individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):

Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):

Consolidated Renal Operations in a Web-Enabled Environment (CROWN) is a Major Application (MA) whose purpose is to facilitate the collection and maintenance of information about the Medicare ESRD program, its beneficiaries, and the services provided to beneficiaries. The major CROWN applications provide support for CMS organizational business processes by conducting activities that meet the following CMS goals for the ESRD program:

Improve the quality of health care service and quality of life for ESRD beneficiaries; Improve data reliability, validity, and reporting among ESRD providers/facilities, Networks and CMS (or other appropriate agency).

Establish and improve partnerships and cooperative activities among and between the ESRD Networks, Quality Improvements Organization (QIOs), State survey agencies, ESRD providers/facilities, ESRD facility owners, professional groups, and patient organizations.

Each participating ESRD facility and network will be required to have a workstation with a minimum system configuration as specified by QualityNet Exchange. QualityNet Exchange will provide the ability for ESRD Networks to securely exchange multiple types of data files such as MSWord, Excel, Text, and PowerPoint, in real-time via the Internet. These files could be used for letters, static reports, comparative clinical data, and general information.

Additionally, QualityNet Exchange will provide an interactive, secure web site that will allow End Stage Renal Disease (ESRD) Facilities to transmit electronic patient data to their corresponding ESRD Network. ESRD Networks will use the QualityNet Exchange to transmit "seed" patient databases to Facilities, receive electronic patient data files from Facilities, and provide feedback to Facilities regarding data transmission. QualityNet Exchange will be responsible for routing files to/from the appropriate ESRD Facilities and Networks and ensuring that each Facility and Network can only access their data files.

REMIS will allow users to view ESRD beneficiary and provider information from the eighteen ESRD Network organizations housed in the Standard Information Management System (SIMS) Central Repository.

Internal users:

ESRD Networks

CMS OCSQ staff (i.e., the Analysts)
Application Administrators (i.e., Supervisors, etc.)
System Administrators (i.e., DBA's)
Other CMS users (i.e., Actuaries)
Developers (i.e., Programmers).

External users:

ESRD Facilities

National Institutes of Health (NIH)

Health Insurance Companies (Medicare Secondary Payers)

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The Consolidated Renal Operations in a Web-enabled Network (CROWN) will facilitate the collection and maintenance of information about the Medicare End Stage Renal Disease (ESRD) program, as follows:

VISION provides an electronic data entry and reporting system for the nearly 4000-dialysis facilities in the United States. The information stored in VISION is collected by the ESRD dialysis facility or transplant unit and submitted to the ESRD Networks via Quality Net Exchange. The data collected via the VISION tool is mostly patient registry data to track the patients through their dialysis treatments and transplants. The VISION system also collects some Quality Improvement data via the Clinical Performance Measures tool that will be rolled out this spring. Currently, there are about 135 facilities out of 4600 facilities nationally that are using this system.

Data from VISION is uploaded via Quality Net Exchange to the ESRD Networks. The ESRD Networks import this data into their local SIMS System and perform additional validation and edit checks on the integrity of the data. SIMS, in addition to the patient registry data, also houses clinical data such as vascular access information, and in the near future, electronic laboratory data. Currently, SIMS is used by all employees at every ESRD Network to which all 4600 dialysis facilities and transplant facilities report.

SIMS focuses on the mission critical operations of the ESRD Networks. These operations have been categorized into 5 major areas.

Form Entry/Submission and Tracking

Reporting

Administration

Database Utilities

Other SIMS Features

The REMIS (Renal Management Information System) is a web-based interactive database of ESRD patient and provider information located at CMS Data Center in Baltimore, MD. It is used by CMS and the renal community to perform their duties and responsibilities in monitoring Medicare status, transplant activities, dialysis activities, and Medicare utilization (inpatient and physician supplier bills) of ESRD patients and their Medicare providers. REMIS provides a central database for CMS ESRD information.

REMISS will support and improve data collection, validation, and analysis of the ESRD patient population over its predecessor system, REBUS. It will provide timely and accurate analysis information to the ESRD Network organizations, dialysis facilities, transplant centers, and research organizations. This will be accomplished via a Web-based data administration facility and decision support system. REMIS will provide improved support for ESRD program analysis, policy development, and epidemiological research.

REMISS will allow users to view ESRD beneficiary and provider information from the eighteen ESRD Network organizations housed in the Standard Information Management System (SIMS) Central Repository. The Networks provide Beneficiary, Provider, Medical Evidence, Death Notice, and Patient Event data. This information, along with information from CMS systems of record (Medicare Enrollment Data Base, the Common Working File, and the National Claims History, and from the United Network for Organ Sharing (UNOS), is integrated via REMISS.

The system maintains individually identifiable and other data collected on individuals with ESRD who receive Medicare benefits or who are treated by DVA health care facilities. The system contains information on both the beneficiary and the provider of services, and the collected information includes but is not limited to name, DOB, SSN, HICN, mailing address, phone number, email address, race/ethnicity, and gender. The collection of the data is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: CMS Information Security (IS) Acceptable Risk Safeguards (ARS), FINAL, Version 4.0, March 19, 2009 contains a broad set of required security standards based upon NIST SP 800-53 Revision 2, Recommended Security Controls for Federal Information Systems, dated December 2007, and NIST 800-63 Revision 1, Electronic Authentication Guideline, dated, December 2008 as well as additional standards based on CMS Policies, Procedures, and Guidance, other Federal and non-Federal guidance resources and industry leading security practices. This document provides technical guidance to CMS and its contractors as to the minimum level of administrative, technical, and physical security controls that must be implemented to protect CMS' information and information systems.

CMS Policy for the Information Security Program, December 31, 2008 (CMS-CIO-POL-SEC02-03.2) sets the ground rules under which CMS shall operate and safeguard its information and information systems to reduce the risk and minimize the effect of security incidents. It serves as the primary source of Information Technology (IT) systems security information for all CMS IT users. The policy described therein applies to all users of CMS hardware, software, information, and data. The CMS OIS Security Program ensures the existence of adequate safeguards to protect personal, proprietary, and other sensitive data in automated systems and ensures the physical protection of all CMS General Support Systems (GSSs) and Major Applications (MAs) that maintain and process sensitive data.

QualityNet System Security Policy, Version 6, November 2009, further defines and establishes security controls that apply to all QualityNet systems and users. This QualityNet Policy must be followed by the 3 QualityNet Complexes, 53 QIO sites responsible for each US state, territory, and the District of Columbia; 1 Clinical Data Abstraction Center (CDAC); and 18 End Stage Renal Disease networks.

This policy was established to provide a standard for QualityNet Functional Component users to ensure the confidentiality, integrity, and availability of sensitive Medicare information. Users need to understand that taking personal responsibility for the handling, storage, and destruction of sensitive information is an essential part of their job.

This policy document meets the requirements set forth by the Computer Security Act of 1987 (P.L. 100-235), the Health Insurance Portability and Accountability Act of 1997 (P.L. 104-191), Appendix III to OMB Circular No. A-130 (50 FR 52730; December 24, 1985), and the CMS Policy for the Information Security Program, December 31, 2008 (CMS-CIO-POL-SEC02-03.2).

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OCSQ Health Care Quality Improvement System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0520, 09-70-0536

5. OMB Information Collection Approval Number: 0938-0658

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Healthcare Quality Improvement System (HCQIS) [Standard Data Processing System (SDPS)]

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Debbra Hattery

10. Provide an overview of the system: Healthcare Quality Improvement System (HCQIS) [Standard Data Processing System (SDPS)] is an application group whose purpose is to provide hardware and software tools to enable Quality Improvement Organization personnel to fulfill the requirements of the QIO programs. HCQIS [SDPS] consists of many data and reporting requirements and was designed and developed in response to the ongoing information requirements of the Quality Improvement Organizations (QIOs) and other affiliated partners, such as the Clinical Data Abstraction Center (CDAC) to fulfill their contractual requirements with CMS. This system, which became operational in May 1997, interfaces with CMS Central Office, 53 QIO's and 1 CDAC. SDPS applications provide support for the CMS organizational business processes that aid in the administration and monitoring of the tasks mandated by the QIO program.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):

Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Users of the HCQIS [SDPS] data systems include: CMS Central and Regional offices, QIOs, Medicare certified inpatient providers, and authorized PMS vendors.

Any 'sharing' of this information outside of the group mentioned above can only be approved by CMS. A Data Use Agreement is submitted to CMS for approval.

The Standard Data Processing System (SDPS) is a Major Application (MA) whose purpose is to provide hardware and software tools to enable Quality Improvement Organization personnel to fulfill the requirements of the QIO programs. The primary purpose of the system is to aid in the administration and monitoring of the tasks mandated by the QIO program. These tasks include:

Improving Beneficiary Safety and Health Through Clinical Quality Improvement in provider settings of: a. Nursing Home; b. Home Health; c. Hospital; d. Physician Office; e. Underserved and Rural Beneficiaries; and f. Medicare + Choice Organizations (M+COs).

Improving Beneficiary Safety and Health Through Information and Communications by: a. Promoting the Use of Performance Data; b. Transitioning to Hospital-Generated Data; and c. Other Mandated Communications Activities.

Improving Beneficiary Safety and Health Through Medicare Beneficiary Protection Activities through: a. Beneficiary Complaint Response Program; b. Hospital Payment Monitoring Review Program; and c. All Other Beneficiary Protection Activities.

Improving Beneficiary Safety and Health Through Developmental Activities

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The data that the HCQIS [SDPS] system collects, maintains, and disseminates is as follows:

summarized data for payment error rates by state and nationally

claims

case review

medical record abstractions

payment information

tracking of medical records

helpline and beneficiary complaint information

raw and rolled up Part A and Part B claims

tracking information for abstraction of surveillance data

beneficiary demographic information for all Medicare beneficiary enrollees

clearinghouse of information related to quality improvement information, tools, and techniques

contains security access information

provider specific activities performed by QIOs

reference data regarding providers from various healthcare settings

provider contact telephone and address information, and indicators for provider-vendor authorizations

provider data for analytical purposes to support quality improvement collaborative efforts

information, training materials, memos, documentation related to the SDPS questions posed and corresponding answers

Among this data is PII data, and it includes name, DOB, SSN, mailing address, medical records, medical notes, HICN, race/ethnicity, gender.

The use of the data is to provide hardware and software tools to enable Quality Improvement Organization personnel to fulfill the requirements of the Medicare QIO programs. HCQIS [SDPS] consists of many data and reporting requirements and was designed and developed in response to the ongoing information requirements of the Quality Improvement and other affiliated partners.

The data is gathered on a mandatory basis.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: CMS Information Security (IS) Acceptable Risk Safeguards (ARS), FINAL, Version 4.0, March 19, 2009 contains a broad set of required security standards based upon NIST SP 800-53 Revision 2, Recommended Security Controls for Federal Information Systems, dated December 2007, and NIST 800-63 Revision 1, Electronic Authentication Guideline, dated, December 2008 as well as additional standards based on CMS Policies, Procedures, and Guidance, other Federal and non-Federal guidance resources and industry leading security practices. This document provides technical guidance to CMS and its contractors as to the minimum level of administrative, operational, and technical security controls that must be implemented to protect CMS' information and information systems.

CMS Policy for the Information Security Program, December 31, 2008 (CMS-CIO-POL-SEC02-03.2) sets the ground rules under which CMS shall operate and safeguard its information and information systems to reduce the risk and minimize the effect of security incidents. It serves as the primary source of Information Technology (IT) systems security information for all CMS IT users. The policy described therein applies to all users of CMS hardware, software, information, and data. The CMS OIS Security Program ensures the existence of adequate safeguards to protect personal, proprietary, and other sensitive data in automated systems and ensures the physical protection of all CMS General Support Systems (GSSs) and Major Applications (MAs) that maintain and process sensitive data.

QualityNet System Security Policy, Version 6, November 2009, further defines and establishes security controls that apply to all QualityNet systems and users. This QualityNet Policy must be followed by the 3 QualityNet Complexes, 53 QIO sites responsible for each US state, territory, and the District of Columbia; 1 Clinical Data Abstraction Center (CDAC); and 18 End Stage Renal Disease networks.

This policy was established to provide a standard for QualityNet Functional Component users to ensure the confidentiality, integrity, and availability of sensitive Medicare information. Users need to understand that taking personal responsibility for the handling, storage, and destruction of sensitive information is an essential part of their job.

This policy document meets the requirements set forth by the Computer Security Act of 1987 (P.L. 100-235), the Health Insurance Portability and Accountability Act of 1997 (P.L. 104-191), Appendix III to OMB Circular No. A-130 (50 FR 52730; December 24, 1985), and the CMS Policy for the Information Security Program, December 31, 2008 (CMS-CIO-POL-SEC02-03.2).

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OCSQ Physician Quality Reporting System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0584

5. OMB Information Collection Approval Number: 0938-0658

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Physician Quality Reporting System (PQRS) (formerly Physician Quality Reporting Initiative (PQRI))

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Debbra Hattery, Director ISG, DHHS/CMS/OA/OCSQ/ISG, (410) 786-1855, debbra.hattery@cms.hhs.gov

10. Provide an overview of the system: Physician Quality Reporting System (PQRS) is a sub-family of the HCQIS Major Application (MA) group. The primary purpose of this system is to collect and maintain individually identifiable information for all eligible professionals who voluntarily participate in the PQRI. Information retrieved from this system may be disclosed to: (1) support regulatory, reimbursement, and policy functions performed within the agency or by a contractor, consultant or grantee; (2) assist another Federal or state agency, an agency established by state law, or its fiscal agent; (3) support providers and suppliers of services for administration of Title XVIII of the Social Security Act; (4) assist Quality Improvement Organizations; (5) support an individual or organization for a research project or in support of an evaluation project related to the prevention of disease or disability, the restoration or maintenance of health, or payment related projects; (6) support litigation involving the agency; (7) assist a national accreditation organization that has been granted deeming authority by CMS; and (8) combat fraud and abuse in certain Federally-funded health benefits programs.

Eligible professionals, who chose to participate and successfully report on a designated set of quality measures for services paid under the Medicare Physician Fee Schedule and provided to Medicare beneficiaries under the traditional fee-for-service program, may earn a bonus payment subject to a cap. Participating eligible professionals whose Medicare patients in the traditional fee-for-service program fit the specifications of the quality measures will report the corresponding appropriate Common Procedural Terminology (CPT) Category II codes or G-codes on their claims.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
The primary purpose of this system is to collect and maintain individually identifiable information for all eligible professionals who voluntarily participate in the Physician Quality Reporting System (PQRS). Information retrieved from this system may be disclosed to: (1) support regulatory, reimbursement, and policy functions performed within the agency or by a contractor, consultant or grantee; (2) assist another Federal or state agency, an agency established by state law, or its fiscal agent; (3) support providers and suppliers of services for administration of Title XVIII of the Social Security Act; (4) assist Quality Improvement Organizations; (5) support an individual or organization for a research project or in support of an evaluation project related to the prevention of disease or disability, the restoration or maintenance of health, or payment related projects; (6) support litigation involving the agency; (7) assist a national accreditation organization that has been granted deeming authority by CMS; and (8) combat fraud and abuse in certain Federally-funded health benefits programs.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The primary purpose of this system is to collect and maintain individually identifiable information for all eligible professionals who voluntarily participate in the PQRI. Information retrieved from this system may be disclosed to: (1) support regulatory, reimbursement, and policy functions performed within the agency or by a contractor, consultant or grantee; (2) assist another Federal or state agency, an agency established by state law, or its fiscal agent; (3) support providers and suppliers of services for administration of Title XVIII of the Social Security Act; (4) assist Quality Improvement Organizations; (5) support an individual or organization for a research project or in support of an evaluation project related to the prevention of disease or disability, the restoration or maintenance of health, or payment related projects; (6) support litigation involving the agency; (7) assist a national accreditation organization that has been granted deeming authority by CMS; and (8) combat fraud and abuse in certain Federally-funded health benefits programs. The data includes PII data, including name, DOB, SSN, mailing address, medical records, medical notes, HICN, race/ethnicity, gender.

Submission of the data is voluntary for those that wish to participate in the PQRI.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g.,

disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) No

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: CMS Information Security (IS) Acceptable Risk Safeguards (ARS), FINAL, Version 4.0, March 19, 2009 contains a broad set of required security standards based upon NIST SP 800-53 Revision 2, Recommended Security Controls for Federal Information Systems, dated December 2007, and NIST 800-63 Revision 1, Electronic Authentication Guideline, dated, December 2008 as well as additional standards based on CMS Policies, Procedures, and Guidance, other Federal and non-Federal guidance resources and industry leading security practices. This document provides technical guidance to CMS and its contractors as to the minimum level of administrative, technical, and physical security controls that must be implemented to protect CMS' information and information systems.

CMS Policy for the Information Security Program, December 31, 2008 (CMS-CIO-POL-SEC02-03.2) sets the ground rules under which CMS shall operate and safeguard its information and information systems to reduce the risk and minimize the effect of security incidents. It serves as the primary source of Information Technology (IT) systems security information for all CMS IT users. The policy described therein applies to all users of CMS hardware, software, information, and data. The CMS OIS Security Program ensures the existence of adequate safeguards to protect personal, proprietary, and other sensitive data in automated systems and ensures the physical protection of all CMS General Support Systems (GSSs) and Major Applications (MAs) that maintain and process sensitive data.

QualityNet System Security Policy, Version 6, November 2009, further defines and establishes security controls that apply to all QualityNet systems and users. This QualityNet Policy must be followed by the 3 QualityNet Complexes, 53 QIO sites responsible for each US state, territory, and the District of Columbia; 1 Clinical Data Abstraction Center (CDAC); and 18 End Stage Renal Disease networks.

This policy was established to provide a standard for QualityNet Functional Component users to ensure the confidentiality, integrity, and availability of sensitive Medicare information. Users need to understand that taking personal responsibility for the handling, storage, and destruction of sensitive information is an essential part of their job.

This policy document meets the requirements set forth by the Computer Security Act of 1987 (P.L. 100-235), the Health Insurance Portability and Accountability Act of 1997 (P.L. 104-191), Appendix III to OMB Circular No. A-130 (50 FR 52730; December 24, 1985), and the CMS Policy for the Information Security Program, December 31, 2008 (CMS-CIO-POL-SEC02-03.2).

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OCSQ Q-Net [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number: 009-38-01-06-01-1030-00

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: 0938-0581

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CMS QualityNet (QNet)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Debbra Hattery

10. Provide an overview of the system: QualityNet (QNet) is a General Support System (GSS). CMS maintains the QNet network infrastructure, a network environment that uses shared database servers and WAN/LAN resources to monitor and improve utilization and quality of care for Medicare and Medicaid beneficiaries. The program consists of the CMS Data Center Complex 1 located at the CMS central offices in Baltimore, MD; Complex 2, located at the Iowa Foundation for Medical Care (IFMC) in Des Moines, IA; Complex 3, located at Buccaneer Computer Systems & Services, Inc. (BCSSI) in Warrenton, VA; a national network of 53 Quality Improvement Organization (QIO) sites responsible for each US state, territory, and the District of Columbia; 1 Clinical Data Abstraction Center (CDAC); 18 End Stage Renal Disease (ESRD) networks; and the two BCSSI and IFMC Contractor support locations.

This legislation is under the Social Security Act, Title XVIII, Section 1864: "93.777 State Survey and Certification of Health Care Providers and Suppliers"

This legislation is under Title XI of the Social Security Act, Part B, as amended by the Peer Review Improvement Act of 1982.

This legislation is under Title XI--General Provisions, Peer Review, and Administrative Simplification

The Balanced Budget Act of 1997 created section 1932 (c)(2) of the Act, which would replace section 1902 (a)(30)(C) with a new requirement for annual, external quality review (EQR) of Medicaid MCOs.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether

provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The system is a General Support System (GSS) and does not directly collect or store information. The applications/systems residing on the GSS collect and store information. Therefore, individual PIAs have been prepared and submitted for the applications/systems residing on this GSS.

The QNet WAN/LAN network configuration provides the WAN/LAN connectivity and support for the Health Care Quality Improvement System that comprises of three Major Applications that collect information and operate within QNet network infrastructure:

Standard Data Processing System (SDPS)

Consolidated Renal Operations in a Web-Enabled Environment (CROWN)

Quality Improvement Evaluation System (QIES)

- Physician Quality Reporting Initiative (PQRI)
- Quality Management Measures Information System (QMIS)

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?: No

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OCSQ Quality Improvement and Evaluation System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0528

QIES ACTS: 07-70-0565

5. OMB Information Collection Approval Number: 0938-0658

6. Other Identifying Number(s): n/a

7. System Name (Align with system Item name): Quality Improvement and Evaluation System (QIES)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Debbra Hattery

10. Provide an overview of the system: Quality Improvement and Evaluation System (QIES) is an application that provides states with the ability to collect assessment data from providers and transmit that data to a central repository for analysis and support of prospective payment systems. The QIES data management system supports a suite of applications/tools designed to provide states and CMS with the ability to use performance information to enhance on-site inspection activities, monitor quality of care, and facilitate providers' efforts related to continuous quality improvement.

The Quality Improvement and Evaluation System support federal and state Medicare and Medicaid provider certification activities and assessment information. This information includes provider compliance, provider deficiency, complaints about providers, enforcement actions against providers, survey tracking and scheduling activities, assessment collection activities, quality indicators and other quality and payment information.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass

through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): QIES users are CMS Central Office and Regional Office staff. QIES also shares data with State agencies, FIs, RHHIs, and Quality Improvement Organizations (QIO) for the purpose of health care quality and payment. Also, data may be disclosed to entities that meet Privacy Act requirements for routine uses as stated in the SOR. These entities must have a DUA.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: QIES National Repository contains resident and patient assessment data. It includes clinical data of patients and residents. The data offers a multidimensional view of residents/patients functional capacities. The data is used for payment and quality of care. The data help staff to identify health problems. QIES repository also contains data that tracks and process complaints and incidents reported against Medicare and Medicaid providers and suppliers. The purpose is to measure outcome monitoring and patient risk factors, and to aid in the administration of the survey and certification of Medicare and Medicaid providers and suppliers and CLIA. The data contains PII data, including name, DOB, SSN, mailing address, phone number, email address, HICN, race/ethnicity, and gender. The submission of the data is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: CMS Information Security (IS) Acceptable Risk Safeguards (ARS), contains a broad set of required security standards based upon NIST SP 800-53, Recommended Security Controls for Federal Information Systems, , and NIST 800-63, Electronic Authentication Guideline, as well as additional standards based on CMS Policies, Procedures, and Guidance, other Federal and non-Federal guidance resources and industry leading security practices. This document provides technical guidance to CMS and its

contractors as to the minimum level of administrative, technical, and physical security controls that must be implemented to protect CMS' information and information systems.

The CMS Policy for the Information Security Program (PISP) sets the ground rules under which CMS shall operate and safeguard its information and information systems to reduce the risk and minimize the effect of security incidents. It serves as the primary source of Information Technology (IT) systems security information for all CMS IT users. The policy described therein applies to all users of CMS hardware, software, information, and data. The CMS OIS Security Program ensures the existence of adequate safeguards to protect personal, proprietary, and other sensitive data in automated systems and ensures the physical protection of all CMS General Support Systems (GSS) and Major Applications (MAs) that maintain and process sensitive data.

The QualityNet System Security Policy further defines and establishes security controls that apply to all QualityNet systems and users. This QualityNet Policy must be followed by the 3 QualityNet Complexes, 53 QIO sites responsible for each US state, territory, and the District of Columbia; 1 Clinical Data Abstraction Center (CDAC); and 18 End Stage Renal Disease networks.

This policy was established to provide a standard for QualityNet Functional Component users to ensure the confidentiality, integrity, and availability of sensitive Medicare information. Users need to understand that taking personal responsibility for the handling, storage, and destruction of sensitive information is an essential part of their job.

This policy document meets the requirements set forth by the Federal Information Security Act of 2002 (FISMA), the Health Insurance Portability and Accountability Act of 1997 (P.L. 104-191), Appendix III to OMB Circular No. A-130 (50 FR 52730; December 24, 1985), and the CMS Policy for the Information Security Program.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OCSQ Renal Management Information System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? Yes

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0520

5. OMB Information Collection Approval Number: CMS 2728 (Medical Evidence) – OMB 0938-0046

CMS 2746 (Death Notice) – OMB 0938-0448

CMS 2744 (Facility Survey) – OMB 0938-0447

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Renal Management Information System (REMIS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Debra Hattery

10. Provide an overview of the system: Renal Management Information System (REMIS) is a CMS Major Application (MA) that supports The Medicare End Stage Renal Disease (ESRD) Program. The ESRD program was established in 1972 with the passage of Section 299I of Public Law 92-603 to provide health insurance for people with irreversible kidney failure. In 1978, the U.S. Congress authorized the formation of ESRD Networks Organizations to further support the ESRD Program (Public Law 95-292) and currently eighteen (18) ESRD Networks support the federal government in assuring appropriate care for patients who receive treatment through dialysis facilities and kidney transplant centers certified by Medicare. The Networks` responsibilities include: quality monitoring and improvement of the care ESRD patients receive, the collecting of data to administer the national Medicare ESRD program, providing technical assistance to patients who have ESRD and providers, and addressing patient grievances. REMIS replaced the prior PMMIS application, REBUS, in July 2003.

REMIS is maintained and managed within the Health Care Quality Improvement System (HCQIS) Data Center located at 6799 Kennedy Road, Suite J, Warrenton, VA 20187. For a complete listing of the eighteen ESRD Networks, please see visit the ESRD Network Coordinating Center website - <http://www.esrdncc.org/index/esrd-networks>.

REMIS determines Medicare coverage periods for ESRD patients and serves as the primary mechanism to store and access ESRD patient and provider/facility information in the congressionally-mandated ESRD Program Management and Medical Information System Database. REMIS tracks the ESRD patient population for both Medicare and non-Medicare patients. REMIS provides secure, role-based access to current ESRD patient and facility data. REMIS calculates Medicare ESRD coverage periods for renal patients and includes operational interfaces to the SIMS Central Repository and the Medicare Enrollment Database (EDB). REMIS also includes sophisticated data quality problem resolution support.

It is used by CMS and the renal community to perform their duties and responsibilities in monitoring Medicare status, transplant activities, dialysis activities, and Medicare utilization (inpatient and physician supplier bills) of ESRD patients and their Medicare providers. REMIS provides a central database for CMS ESRD data and to facilitate generating reports.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
REMIS will allow users to view ESRD beneficiary and provider information from the eighteen ESRD Network organizations housed in the Standard Information Management System (SIMS) Central Repository.

Internal users:

ESRD Networks

CMS OCSQ staff (i.e., the Analysts)

Application Administrators (i.e., Supervisors, etc.)

System Administrators (i.e., DBA's)

Other CMS users (i.e., Actuaries)

Developers (i.e., Programmers).

External users:

ESRD Facilities

National Institutes of Health (NIH)

Health Insurance Companies (Medicare Secondary Payers)

REMIS is used by CMS and the renal community to perform their duties and responsibilities in monitoring Medicare status, transplant activities, dialysis activities, and Medicare utilization (inpatient and physician supplier bills) of ESRD patients and their Medicare providers. REMIS provides a central database for CMS ESRD information.

Internal users:

ESRD Networks

CMS OCSQ staff (i.e., the Analysts)

Application Administrators (i.e., Supervisors, etc.)

System Administrators (i.e., DBA's)

Other CMS users (i.e., Actuaries)

Developers (i.e., Programmers).

External users:

ESRD Facilities

National Institutes of Health (NIH)

Health Insurance Companies (Medicare Secondary Payers)

REMIS is used by CMS and the renal community to perform their duties and responsibilities in monitoring Medicare status, transplant activities, dialysis activities, and Medicare utilization (inpatient and physician supplier bills) of ESRD patients and their Medicare providers. REMIS provides a central database for CMS ESRD information.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The REMIS (Renal Management Information System) is a web-based interactive database of ESRD patient and provider information located at CMS Data Center in Baltimore, MD. It is used by CMS and the renal community to perform their duties and responsibilities in monitoring Medicare status, transplant activities, dialysis activities, and Medicare utilization (inpatient and physician supplier bills) of ESRD patients and their Medicare providers. REMIS provides a central database for CMS ESRD information. This data includes PII data, including name, DOB, SSN, mailing address, medical records, medical notes, HICN, race/ethnicity, gender.

REMIS will support and improve data collection, validation, and analysis of the ESRD patient population over its predecessor system, REBUS. It will provide timely and accurate analysis information to the ESRD Network organizations, dialysis facilities, transplant centers, and research organizations. This will be accomplished via a Web-based data administration facility and decision support system. REMIS will provide improved support for ESRD program analysis, policy development, and epidemiological research.

REMIS will allow users to view ESRD beneficiary and provider information from the eighteen ESRD Network organizations housed in the Standard Information Management System (SIMS)

Central Repository. The Networks provide Beneficiary, Provider, Medical Evidence, Death Notice, and Patient Event data. This information, along with information from CMS systems of record (Medicare Enrollment Data Base, the Common Working File, and the National Claims History, and from the United Network for Organ Sharing (UNOS), is integrated via REMIS.

Submission of the data is mandatory with the Medicare program.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: CMS Information Security (IS) Acceptable Risk Safeguards (ARS), contains a broad set of required security standards based upon NIST SP 800-53, Recommended Security Controls for Federal Information Systems, and NIST 800-63, Electronic Authentication Guideline, as well as additional standards based on CMS Policies, Procedures, and Guidance, other Federal and non-Federal guidance resources and industry leading security practices. This document provides technical guidance to CMS and its contractors as to the minimum level of administrative, technical, and physical security controls that must be implemented to protect CMS' information and information systems.

CMS Policy for the Information Security Program (PISP) sets the ground rules under which CMS shall operate and safeguard its information and information systems to reduce the risk and minimize the effect of security incidents. It serves as the primary source of Information Technology (IT) systems security information for all CMS IT users. The policy described therein applies to all users of CMS hardware, software, information, and data. The CMS OIS Security Program ensures the existence of adequate safeguards to protect personal, proprietary, and other sensitive data in automated systems and ensures the physical protection of all CMS General Support Systems (GSSs) and Major Applications (MAs) that maintain and process sensitive data.

The QualityNet System Security Policy further defines and establishes security controls that apply to all QualityNet systems and users. This QualityNet Policy must be followed by the HCQIS Data Center, 53 QIO sites responsible for each US state, territory, and the District of Columbia; 1 Clinical Data Abstraction Center (CDAC); 18 End Stage Renal Disease networks; and all other QualityNet contractors.

This policy was established to provide a standard for QualityNet Functional Component users to ensure the confidentiality, integrity, and availability of sensitive Medicare information. Users need to understand that taking personal responsibility for the handling, storage, and destruction of sensitive information is an essential part of their job.

This policy document meets the requirements set forth by the Computer Security Act of 1987 (P.L. 100-235), the Health Insurance Portability and Accountability Act of 1997 (P.L. 104-191), Appendix III to OMB Circular No. A-130 (50 FR 52730; December 24, 1985), and the CMS Policy for the Information Security Program.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Bill Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OCSQ Survey and Certification and Clinical Laboratories Improvement Amendments Act [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: CMS-102 OMB# 0938-0599 CMS-105 OMB# 0938-0599

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Survey & Certification \Clinical Laboratory Improvement Act Budget and Expenditure

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Thomas Hamilton

10. Provide an overview of the system: The Survey and Certification (S&C) Clinical Laboratory Improvement Act (CLIA) Budget and Expenditure System is used by states to submit budget and expenditure data for Survey and Certification and CLIA to CMS. CMS' Regional Office personnel review the state submissions and approve the budget and expenditure data into the Survey & Certification\CLIA System. All of this activity is reviewed and certified by CMS Central Office personnel.

The Survey and Certification Group provides annual funding to State Agencies to perform Survey & Certification activities and CLIA activities on providers of services under Title XVII Medicare, Title XIX Medicaid, and Public Health Service Act, Title XIII, Section 353 entitled Clinical Laboratory Improvements Amendment of 1988 (CLIA). The Survey & Certification / CLIA System is a web-based application for use by the Centers for Medicare and Medicaid Services (CMS). State agencies submit forms that capture the expenses incurred for survey activities. These forms are reviewed and maintained by CMS Central Office and Regional Office personnel. Section 1864 of the Social Security Act allows use of state agencies to determine compliance by providers of services with conditions of participation.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the

character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):

Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The agency collects information from State Agencies regarding the Survey & Certification program and CLIA program. The system contains forms that capture financial information for each program as well as the survey workload associated with the expenditures. In addition, states provide a list of state agency personnel associated with each program, and a schedule of equipment purchases. The information is used to provide states with quarterly Medicaid Survey and Certification grant awards, annual Medicare Survey and Certification awards, and annual CLIA awards. The information collected in the system is the minimum required to accomplish the purpose of this effort, and the data includes the name and email address of contacts. This data is publicly accessible data of federal and state contacts so this data is not subject to the Privacy Act. The data collected is voluntary for those participating in the program.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Rules of least Privilege; authorized personnel with approved user Id and password; firewall and intrusion detection; Identification Badges; Key Cards; Closed Circuit TV (CCTV)

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders
Sr. Official for Privacy Approval: Promote
Sr. Official for Privacy Name: Karen Trudel
Sign-off Date: 6/30/2011
Approved for Web Publishing: Yes
Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Administrative Simplification Enforcement Tool II [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0544

5. OMB Information Collection Approval Number: 0938-0948

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Administrative Simplification Enforcement Tool II

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Gladys Wheeler

10. Provide an overview of the system: The Administrative Simplification Enforcement Tool (ASET) is a web-based application which enables individuals or organizations to file a complaint against a health care provider, health plan, or clearinghouse for potential non-compliance with the (non-privacy) provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) - either Transactions and Code sets or Unique Identifiers. ASET provides CMS with the ability to manage, track, and report on HIPAA related complaints.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
1- To agency contractors who have been engaged by the agency to assist in the performance of a service related to this system and who need to have access in order to perform the activity. 2- To another Federal or State Agency to assist in the enforcement of HIPAA regulations for violations of Transactions and Code Sets or Unique Identifiers where sharing the information is necessary

to complete the processing of a complaint. 3- To a member of Congress or to a congressional staff member –individuals sometimes request the help of a member of Congress in resolving an issue relating to a matter before CMS. 4- To the Department of Justice (DOJ), court or adjudicatory body when CMS is involved in litigation and CMS policies or operations could be affected by the outcome of the litigation.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: ASET maintain files of complaint allegations, contact information for the complainant and the filed against entity, information gathered during the complaint investigation, findings, and results of the investigation, and correspondence relating to the investigation. The purpose of this system is to store the results of all OESS regional investigations, to determine if there were violations as charged in the original complaint, to investigate complaints that appear to be in violation of the Transactions and Code Sets or Unique Identifier provisions of HIPAA, to refer violations to law enforcement activities as necessary, and to maintain and retrieve records of the results of the complaint investigations. The collected information will contain name, address, telephone number, geographic location, as well as, background information relating to Medicare or Medicaid issues of the complainant. The personal information in the complaint is offered voluntarily.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) We do not anticipate any changes to the system. If there are major changes to the system, individuals will be notified (mail, email, or phone) when data use or disclosure changes occur in the system. The system of record would be modified as well as a revised OMB information collection approval.

There is a question in ASET when a registrant files a new complaint which asks them if it is okay to use their personal information and complaint details during investigation.

There is also a privacy statement in ASET which explains how their data will be used and disclosed; the user must agree to the privacy policy before they can successfully register a complaint.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The contractor and its business associates meet the requirements of the CMS Information Security Program. The policies, standards, and procedures that govern the application must conform to the CMS Information Security Program (www.cms.hhs.gov/informationsecurity) and have a two-fold purpose: (1) to enable CMS' business processes to function in an environment with adequate security protections, and (2) to meet the security requirements of federal laws, regulations, and directives, including the Privacy Act of 1974 (as amended), HIPAA, and FISMA, as well as various rules, regulations, policies, and guidance developed by DHHS, OMB, Homeland Security, and NIST.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Budget Apportionments, Allotments, and Allowances Database System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Budget Appropriation, Allotments and Allowances Database System (BAADS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: George Rothmann

10. Provide an overview of the system: The BAAADS application is the CMS feeder system to FACS for allocating funding for CMS Administrative Budgets.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: N/A

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g.,

disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Budget Under Control System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-90-0024

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Budget Under Control System (BUCS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Dianne Hall

10. Provide an overview of the system: Agency wide budget execution system used by Executive Officers and staff to manage and track administrative funds

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
NA

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The PII contained in BUCS includes the employee EIN and employee grade and step, and employee overtime rate. This information is mandatory in BUCS and used to calculate overtime expenditures for individuals and to provide a name look-up function to identify obligations. BUCS does not disseminate PII

data. PII data is used by the system to retrieve and display employee names and to calculate employee overtime obligations.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) This does not apply to how BUCS uses PII. BUCS users have access only to a read-only table of employee name and organization.

BUCS IIF data is supplied by Health and Human Services (HHS). BUCS Users are instructed that the information is not accessible to Users.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The data is secured by Oracle database security rules and constraints. Within the BUCS Application only system maintainers have access to PII.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP CDS Columbia Data Center - EDC2 [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Columbia (Fee For Service – 1-800-Medicare National Data Warehouse) - National Level Repository (HITECH NLR)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Timothy P. Walsh

10. Provide an overview of the system: This GSS provides computer platforms, telecommunications, electronic storage infrastructure, and operations support services for the collection, maintenance, and access of data and information to support the business functions of CMS.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: This GSS does not directly

collect, maintain, or disseminate information, but provides platform support infrastructure for other CMS MAs to perform these functions.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) No

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Centers for Medicare and Medicaid Services Enterprise Portal [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Business Intelligence Portal

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Adam Driscoll

10. Provide an overview of the system: The business purpose of the BI Portal project is to support the implementation of the Agency's BI strategy. The CMS BI strategy is an enterprise-wide initiative to provide a consolidated, secure gateway to the wealth of CMS data where users can employ BI software tools to access, manipulate, analyze, and share integrated data.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: N/A

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: Bill Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP CMS Analysis, Reporting, and Tracking System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): HHSM-500-2010-00016C

7. System Name (Align with system Item name): CMS Analysis, Reporting, and Tracking System (CMS ART)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: James Woods

10. Provide an overview of the system: Capture estimated costs, actual costs, deliverables, workload information for major contracts awarded by various components throughout the agency.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: CMS ART captures only federal contact data and does not store PII.

CMS Analysis, Reporting, and Tracking System (CMS ART) is the CMS system of record for tracking Contractor Business Proposals, Cost Reports, Deliverables, and Workload Information for various departments within CMS.

The business purpose is to provide a consistent means for CMS staff to track detailed financial activity, deliverables, and performance on contracts.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A - CMS ART does not contain PII.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP CMS Baltimore Data Center - EDC4 [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Baltimore (CMS Data Center)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Timothy P. Walsh

10. Provide an overview of the system: This GSS provides computer platforms, telecommunications, electronic storage infrastructure, and operations support services for the collection, maintenance, and access of data and information to support the business functions of CMS

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: This GSS does not directly

collect, maintain, or disseminate information, but provides platform support infrastructure for other CMS MAs to perform these functions.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) No

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: No

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP CMS FISMA Controls Tracking System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CMS FISMA Controls Tracking System (CFACTS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: James Mensah

10. Provide an overview of the system: The system provides CMS the ability to track all audit findings to ensure that they are successfully resolved in accordance with FISMA requirements. In addition, the system supports the CMS FISMA System Security Assessment and Authorization (SA&A) process.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: 1.) Audit Findings,

Corrective Action Plans (CAPs) to resolve audit findings, System Security Program (SSP), Risk Assessments (RAs), Contingency Plans (CPs), and ARS, and C&A artifacts.

2.) To comply with the FISMA Act of 2002

3.) No

4.) N/A

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP CMS Human Resources Information System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? Yes

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): OPM/GOVT-1 – General Personnel Records ; 09-70-0538, 09-70-0529, 09-70-0518, 09-70-0515

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CMS Human Resources Information System (CHRIS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Wanda Powell

10. Provide an overview of the system: The CMS Human Resource Information System (CHRIS) automates costly or critical manual processes for the Centers for Medicare & Medicaid Services (CMS) human resources and administrative processes. CHRIS is undergoing a major code rewrite from ASP to .Net and is encompassing a task base functionality for consistency throughout the system. Each process is identified as a task. Employees designated with certain privileges will be privy to certain tasks.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The CHRIS system contains PII information and this data is subject to Rules of Behavior agreement and security protocols. CHRIS contains personally identifiable information of Name, SSN, DOB, Vehicle ID, Education, Employment Status. This information is used by Personnel and is only accessed by persons with management authority. The information is password protected with security protocols. This data is used in this system to automate costly or critical manual processes for the Centers for Medicare & Medicaid Services (CMS) human resources and administrative processes to operate the human resources functions of the agency. The submission of the data is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A -CHRIS

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The PII on CHRIS will be secured administratively by ensuring that the system goes through the C&A process and all documentation is submitted to OIS supporting the system and staying in compliance with the FISMA regulations. The information can only be accessed by authorized personnel. Authorized persons can only access the system by using their CMS issued ID and a password that is unique to that particular ID. All passwords have to be changed every 60 days or the person will be locked out of the workstation. Their workstation can only be unlocked by calling the Action Desk after verifying a person's identity. The CHRIS system as well as the employee's workstation will shut down after a certain period of inactivity and only the person that was logged into the system will be able to unlock the computer. The system is stored on the LAN which is protected by a firewall which secures the information from intruders. The physical controls that are in place such as the security guards ensure that access to the building(s) are only granted to authorized individuals. The identification of everyone that enters the facility is checked.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Contractor Administrative Budget and Financial Management System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): Project No. 0240 (CAFM/CROWD) (OFM)

7. System Name (Align with system Item name): CAFM – Contractor Administrative-Cost and Financial Management System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Antoinette Miller

10. Provide an overview of the system: The CAFM system is the vehicle for tacking benefit payments, banking issues, and CFO data.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: CAFM collects data on

benefit payments, banking issues, and CFO information from 16 input forms to be used for analytical and monitoring purposes.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The CAFM personal information is only accessed by the system administrator and the individual. Every system user must be registered and identified by their HDC User ID. The system administrator also enters their name. The first time a user accesses the system, he/she is prompted to enter their business address and phone number. Periodically, they are prompted to update this information.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Only the system administrator can access the data and each user can access their own data.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

**06.3 HHS PIA Summary for Posting (Form) / CMS OP Contractor
Administrative Budget and Financial Management System II [System]**

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): Project No. 0240 (CAFM/CROWD) (OFM)

7. System Name (Align with system Item name): CAFM: II Contractor Administrative Financial Management System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Antoinette Miller

10. Provide an overview of the system: The CAFM II system is the main vehicle for planning, administering and monitoring the administrative expenses of the Medicare contractor community.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: CAFM II collects data from 4 input forms to accommodate reporting requirements for the Medicare contractor community.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The CAFM personal information is only accessed by the system administrator and the individual. Every system user must be registered and identified by their HDC User ID. The system administrator also enters their name. The first time a user accesses the system, he/she is prompted to enter their business address and phone number. Periodically, they are prompted to update this information.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Only the system administrator can access the data and each user can access their own data.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Contractor Auditing and Settlement Reports [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): Project No. 0239 (CASR)

7. System Name (Align with system Item name): CASR– Contractor Audit and Settlement Reporting System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Antoinette Miller

10. Provide an overview of the system: The CASR system tracks budgeted and incurred costs for the Part A contractor audit and settlement functions by type of activity and type of provider or reporting entity.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: CASR collects data for

budgeted and incurred costs for the Part A contractor audit and settlement functions by type of activity and type of provider or report entity

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The CASR personal information is only accessed by the system administrator and the individual. Every system user must be resgistered and identified by their CMS User ID. The system administrator also enters their name. The first time a user accesses the system, he/she is prompted to enter their business address and phone number. Periodically, they are prompted to update this information.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Only the system administrator can access the data and each user can access their own data.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Contractor Reporting of Operational and Workload Data [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): Project No. 0240 (CAFM/CROWD) (OFM)

7. System Name (Align with system Item name): CROWD: Contractor Reporting of Operational Workload Data

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Antoinette Miller

10. Provide an overview of the system: CROWD: CROWD provides CMS with a timely way to monitor each Medicare Contractor's performance in processing claims, and paying bills. The system contains workload-reporting capabilities that allow the data to be used for estimating budgets, defining operating problems, comparing performance among contractors, and determining regional and national workload trends. CROWD accomplishes the above by first providing the capability for Medicare contractors to electronically enter workload data on a large variety of functional areas.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: CROWD data (Medicare contractor workload) is collected from 26 input forms and is maintained on direct on-line storage for fiscal years 1990 through the current fiscal year.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A. CROWD does not contain any personal information other than the HDC User ID, name and phone number of Federal and contractor personnel who have requested and have been granted access to the system. Only the system administrator can add/update/browse/delete this data.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Coordination of Benefits-Secure Website [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): CERT: System of Records Number: 09-70-501 (Carrier Medicare Claims Records System - Routine Use 1) and 09-70-503 (Intermediary Medicare Claims Records System - Routine Use 1)

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): CMS ART: OFM 463

PIMR: OFM 225

HCRIS: FMIB 415

7. System Name (Align with system Item name): COB: Coordination of Benefits

COB/MRA: COB Contractor MMSEA Section 111 Mandatory Reporting Application (MRA)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Antoinette Miller

10. Provide an overview of the system: COB: The purpose of the COB Program is to identify the health benefits available to a Medicare beneficiary and involves the collection, management, and reporting of other insurance coverage. As the sole COB contractor and maintainer of the COB System, GHI's Government Programs Division is responsible for ensuring the accuracy and timeliness of updates to Medicare's eligibility and entitlement databases, i.e., the Common Working File (CWF) and Medicare Beneficiary Database (MBD).

COB/MRA: Section 111 of the Medicare, Medicaid, and SCHIP Extension Act of 2007 (MMSEA) (P.L. 110-173), adds new Medicare Secondary Payer (MSP) mandatory reporting requirements for group health plan (GHP) arrangements and for liability insurance (including self-insurance), no-fault insurance, and workers' compensation (sometimes collectively referred to as Non-Group Health Plan, Non-GHP or NGHP) The purpose of the Section 111 MSP reporting process is to enable CMS to correctly pay for Medicare covered items and services furnished to Medicare beneficiaries by determining primary versus secondary payer responsibility. Section 111 responsible reporting entities may use the Section 111 COB Secure Web site to submit files for Section 111 MSP reporting. Additionally, this application will also

provide a means for responsible reporting entities to review the status of current file submissions and statistical information related to historical submissions.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
COB: On a quarterly basis, a VDSA/VDEA partner agrees to submit group health plan (GHP) entitlement information about employees and dependents to CMS' COBC. In exchange, CMS agrees to provide the VDSA/VDEA partner with Medicare entitlement information for those individuals in a GHP that can be identified as Medicare beneficiaries. This mutual data exchange helps to assure that claims will be paid by the appropriate organization at first billing.

COB/MRA: IIF is shared with Section 111 responsible reporting entities and their authorized representatives who are required to report under Section 111 of the Medicare, Medicaid, and SCHIP Extension Act of 2007 (MMSEA) (P.L. 110-173), which adds new mandatory reporting requirements for group health plan (GHP) arrangements and for liability insurance (including self-insurance), no-fault insurance, and workers' compensation. See 42 U.S.C. 1395y(b)(7) & (8).

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: COB: On a quarterly basis, a VDSA/VDEA partner agrees to submit group health plan (GHP) entitlement information about employees and dependents to CMS' COBC. In exchange, CMS agrees to provide the VDSA/VDEA partner with Medicare entitlement information for those individuals in a GHP that can be identified as Medicare beneficiaries. This mutual data exchange helps to assure that claims will be paid by the appropriate organization at first billing.

COB/MRA:

The following information is collected, stored and/or displayed on the Mandatory Reporting application related to Section 111 file transfer. It will be used in the existing COB System as part of the process to collect other health insurance information to coordinate payment of medical claims between Medicare and other payers and aid in recovery efforts. This information is shared with the CMS CWF, CMS MBD and CMS MSPRC systems.

- Insurer Tax Identification Number (TIN)
- Insurer Mailing Address
- Employer Identification Number (EIN)
- Employer Mailing Address
- Covered Individual/Injured Party SSN or HICN
- Covered Individual/Injured Party Name
- Covered Individual/Injured Party Date of Birth
- Covered Individual/Injured Party Gender
- Covered Individual Group Health Plan (GHP)
- Covered Individual Periods of Coverage and Coverage Type Under GHP
- Injured Party Date, Cause and Nature of Injury
- Beneficiary Medicare Health Insurance Claim Number (HICN)
- Beneficiary Medicare Entitlement/Enrollment Information
- Policy Holder Name
- Plan Contact Name
- Plan Contact Phone Number
- Attorney Name
- Attorney TIN
- Attorney Mailing Address
- Attorney Phone Number
- Claimant Name
- Claimant TIN
- Claimant Mailing Address
- Claimant Phone Number

The submission of the information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) COB/MRA: Users of the COBSW are required to review and agree to the COBSW User Agreement, Privacy Policy and Login Warning.

(Privacy Act Statement

The collection of this information is authorized by 42 U.S.C. 1395y(b)(7) & (8). The information collected will be used to identify and recover past mistaken Medicare primary payments and to prevent Medicare from making mistakes in the future for those Medicare Secondary Payer situations that continue to exist.

SAFEGUARDING & LIMITING ACCESS TO EXCHANGED DATA

I agree to establish and implement proper safeguards against unauthorized use and disclosure of the data exchanged for the purposes of complying with the Medicare Secondary Payer Mandatory Reporting Provisions in Section 111 of the Medicare, Medicaid and SCHIP Extension Act (MMSEA) of 2007. Proper safeguards shall include the adoption of policies and procedures to ensure that the data obtained shall be used solely in accordance with Section 1106 of the Social Security Act [42 U.S.C. § 1306], Section 1874(b) of the Social Security Act [42 U.S.C. § 1395k(b)], Section 1862(b) of the Social Security Act [42 U.S.C. § 1395y(b)], and the Privacy Act of 1974, as amended [5 U.S.C. § 552a]. The Responsible Reporting Entity shall establish appropriate administrative, technical, procedural, and physical safeguards to protect the confidentiality of the data and to prevent unauthorized access to the data provided by CMS. I agree that the authorized representatives of CMS shall be granted access to premises where the Medicare data is being kept for the purpose of inspecting security arrangements confirming whether the Responsible Reporting Entity is in compliance with the security requirements specified above. Access to the records matched and to any records created by the matching process shall be restricted to authorized CMS and Responsible Reporting Entity employees, agents and officials who require access to perform their official duties in accordance with the uses of the information as authorized under Section 111 of the MMSEA of 2007. Such personnel shall be advised of (1) the confidential nature of the information; (2) safeguards required to protect the information, and (3) the administrative, civil and criminal penalties for noncompliance contained in applicable Federal laws.)

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: COB: GHI has a Security Program that includes the CAST self-assessment with 441 administrative, physical and technical controls. The program includes security training, corrective action plans, Business Continuity Planning, external tests of security controls contracted to Cybertrust, SDLC, Change Control, Risk Assessments, System Security Plans.

Full detail is available in the CAST, COB RAs, COB SSPs and COB BCP.

COB/MRA: GHI has a Security Program that includes the CAST self-assessment with 450 administrative, physical and technical controls.

The program includes security training, corrective action plans, Business Continuity Planning, external tests of security controls contracted to Verizon Business, SDLC, Change Control, Risk Assessments, System Security Plans.

Full detail is available in the CAST, COB RAs, COB SSPs and COB BCP.

The COBSW is designed to be fully compliant with:

- CMS Internet Architecture (Including Minimum Platform Security Requirements), July 2003
 - CMS Web-Enabled Application Architecture, Version 1.1, June 2005
 - CMS Target Architecture, September 2004
 - CMS Enterprise Messaging Infrastructure (Including Architecture, Standards, and Implementation Requirements), December 2003
- J2EE Application Development Guidelines, Version 1.0, November 5, 2004

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Data Agreement and Data Shipping Tracking System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-3005

5. OMB Information Collection Approval Number: CMS-R-0235

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Data Agreement Data Shipping and Tracking System (DADSS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Sharon Kavanagh

10. Provide an overview of the system: Created to provide an automated easy-to-use system for tracking foreign media shipped from the CMS Data Center, and other locations. DADSS provides data coordinators and CMS Data Center data release staff with the means to follow the movement of foreign media shipped from the CMS Data Center. This system maintains the accountability for the shipment of data from the Tape Library and CMS data contractors.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
DASS shares user names with DESY for the purpose of accessing CMS data on-site.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: DADSS collects name, address, phone number, email address and CMS User Id for those that are entering into a Data Use Agreement with CMS or those who are overseeing a Data Use Agreement as a CMS employee. This data is required in order to grant the requested DUA.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) NA

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: User name and password is required from those who have access to DADSS in order to enter and search for data within the system. Those without the need to use DADSS do not have access.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Data Extract System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0558, 09-70-0514

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Data Extract System (DESY)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Dinah Horton (System maintainer)

10. Provide an overview of the system: Data extract system for data – NCH, MedPAR, Denom and SAF

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Other government agencies for fraud and abuse and disease management.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: NCH, MedPar, Demon and SAF enrollment information is disseminated via DESY. This data is used by government agencies to compile data to detect Medicare fraud and abuse, facilitate research on the quality

and effectiveness of care provided, and to operate disease management studies. The data contained and extracted from this system includes PII, which includes name, DOB, SSN, mailing address, HICN, UPIN, medical record numbers, data of death, race, sex. The submission of the data that is being utilized is mandatory with the operation of the Medicare program.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: APCSS runs this system in the data center

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Debt Collection System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-90-0024

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): No

7. System Name (Align with system Item name): DCS: Debt Collection System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Antoinette Miller, 410-786-1011

10. Provide an overview of the system: Allows CMS employees and Medicare contractors to enter, update and transmit delinquent debt for the purpose of collecting debt through Treasury offset and cross servicing.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Delinquent receivables sent to HHS/PSC's Debt Management & Collection System (DMSC). PSC sends data to Treasury for cross servicing and the Treasury Offset Program (TOP).

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: Information associated with principal and interest and individual debtors whether they are individuals or corporations. The

system allows CMS employees and Medicare contractors to enter, update and transmit delinquent debt for the purpose of collecting debt through Treasury offset and cross servicing. Information contains PII, including name, SSN and medical records. The submission of this data is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The IIF information is supplied by individuals and corporations.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The data is secured by DB2 database security rules and constraints. User authority is established via a userid/password.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Demonstration Payment System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501; 09-70-0503

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/a

7. System Name (Align with system Item name): Demonstration Payment System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Jessica Hoffman

10. Provide an overview of the system: The Demonstration Payment System is used to process beneficiary enrollment and pay providers for Medicare demonstration services under the authority of section 402 of the Social Security Amendments of 1967 and section 222 of the Social Security Amendments of 1972. The DPS system provides payment data for issuance to demonstration and other providers and sites through the Financial Accounting Control System (FACS).

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
The system shares PII with organizations contracted to evaluate the demonstrations and other financial entities contracted to process payments.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: 1) The system collects minimally necessary identifying medical and demographic information needed to reimburse demonstration providers for the services rendered to Medicare beneficiaries. This PII data includes name, DOB, HICN and other identified medical information. The data collection is based on the individual demonstration legislation and only that information needed to pay correctly is collected.

2) Information will be utilized for making payments to demonstration projects and other projects as identified.

3) System information contains PII

4) Submission of personal information is voluntary.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) 1,2) Participants voluntary enroll and provide PII as a part of the payment process. 3) The information is obtained electronically and hardcopy in a HIPAA compliant format. The suppliers of the information have been informed about data usage through either a contract or an informed consent form. These signed agreements are obtained as the supplier or beneficiary enters the demonstration.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All PII is processed and maintained within a secured CMS environment and complies with all CMS security policies. CMS policy includes security training, corrective action plans, business continuity planning, external tests of security controls, change controls, risk assessments, system security plans, and contingency plans. The information will be secured as described in the CMS Master Systems Security Plan and DPS Systems Security Plan.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Financial Accounting Control System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-90-0024

5. OMB Information Collection Approval Number: No

6. Other Identifying Number(s): No

7. System Name (Align with system Item name): FACS: Financial Accounting Control System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Jessica Hoffman

10. Provide an overview of the system: FACS is CMS's internal accounting system of record, which consists of four application modules:

- 1) The CORE module contains General Ledger information.
- 2) The Accounts Payable subsystem module.
- 3) The Letter of Credit subsystem.
- 4) The Accounts Receivable and Collection subsystem.

The main purpose of FACS is to maintain the Agency's financial data that is used to generate the CMS Financial Statements and other required financial reports, maintaining control of budgeted resources, to generate IRS 1099 forms, and to transmit payment data to Treasury and grant award authorizations to HHS/PSC.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Delinquent receivables sent to HHS/PSC's Debt Referral System (DMCS). PSC sends data to Treasury Offset Program (TOPS). Payment files sent to Treasury. 1099-Misc. files sent to IRS. Budget data extracted from a FACS report file by the BUCS. Payment Management System (PMS) Medicaid and CHIP obligation, advance, and expenditure data is sent to the Healthcare Integrated General Ledger Accounting System (HIGLAS). This information is used to record advance amounts in the HIGLAS, as well as to synchronize the amounts recorded in the HIGLAS with the amounts recorded in the PMS. Also, all FACS vendor and transaction data is interfaced to HIGLAS nightly.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The PII contained in the FACS includes vendor and employee EINs/TINs, names, addresses, and banking information. Submission of this information is mandatory, as it is required to make payments to vendors and individuals. Information on taxable payments is sent to the Internal Revenue Service. Additionally, this information must also be tracked for receivables, as this information will be used when referring delinquent debts to the Treasury for collection. Names are included in the budget data used by the BUCS in order to identify commitments, obligations, and expenditures. The PMS sends a file of prior month advances, as well as a file of cumulative obligations, advances, and disbursements to FACS monthly. These 2 files include EINs. The records on the files related to HIGLAS (Medicaid and CHIP) activity are sent to HIGLAS monthly using FACS programs. The nightly FACS interface to HIGLAS is necessary so that HIGLAS, which will be the future CMS accounting system of record, maintains all accounting transactions. GovTrip sends files, which include SSNs and names, to FACS. The information contains PII, and is mandatory for employees to receive reimbursement of valid travel expenses.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) PII is obtained from vendors and employees, who are instructed that this information is required in order to receive payment from the CMS. This is conveyed to them through contract and/or appropriate CMS notification (when they are being reimbursed for travel). Vendors cannot sign their contract, and employees cannot be reimbursed for travel if they do not want to provide this information to the CMS.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: PII is secured through CMS data center policy, as well as the secure CMS facility. Additionally, user-level security includes RACF security, user classes within the FACS, security groups limiting access based on dataset high-qualifiers and usage requirements, and screen-level security.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Healthcare Integrated General Ledger Accounting System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 5/1/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number: 009-38-01-01-1020-00-402-124

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501 - Carrier Medical Claims Record,

09-70-0503 - Medical Plans Record, &

09-90-0024 Unified Financial Management System (UFMS)

5. OMB Information Collection Approval Number: N/A – HIGLAS does not collect data from the public

6. Other Identifying Number(s): No

7. System Name (Align with system Item name): Healthcare Integrated General Ledger Accounting System (HIGLAS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Janet Vogel

10. Provide an overview of the system: To provide, in a production environment, a dual entry, US Standard General Ledger accounting system and standardized accounting and financial management reporting processes for CMS central office administrative program accounting activity and for the Medicare Program Benefits administered by Medicare Fee-For-Service Claims Processing Contractors.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: HIGLAS incorporates financial data that is focused on Medicare claims payment and overpayment collection activities. This data includes PII, including name, DOB, SSN, mailing addresses, phone numbers, and financial information. The submission of this data is mandatory under the Medicare program which is detailed under SOR notices that HIGLAS collects this information from.

The main information maintained by HIGLAS is as follows:

-Payables: Supplier, bank, payment terms, location, BACS, UOM, employee, receipt accrual, invoice, payment, remittance advice.

-Receivables: Customer, bank, payment term, BACS, UOM, item description, category, employee, invoice, receipt.

-General Ledger/Budget Execution: Set of books (chart of accounts, calendar, currency), BACS value, cross-validation rule, security rule, budget.

The information is collected by the Medicare Fee-For-Service Claims Processing Shared Systems which are SORs. These systems, in turn, populate HIGLAS with data needed to process payments to and collections from the Medicare fee-for-service payees.

Effective with the start of Fiscal Year 2009, new withholding functionality was implemented in HIGLAS to automatically offset Medicare Fee for Service (FFS) payments to recoup delinquent Federal tax debts owed by the Medicare providers within the scope of the U.S. Department of the Treasury's Federal Payment Levy Program (FPLP).

HIGLAS incorporates financial data that is focused on CMS' Administrative Program Accounting (APA), Budget Execution, Purchasing, Payable, Receivable, and Grant activities. The main information maintained is supplier / customer values, ACS values, cross validation rules, security rules, and CAN/BACS Crosswalks (CAN, Object Classes and USSGL) information in order to accurately account for all APA accounting events. All accounting events, except for Medicaid and CHIP government awards and funding related to this event, is collected by the CMS' Legacy Financial and Accounting Control System (FACS) which in turn, via a FACS Staging Layer, populates HIGLAS with data needed to record accounting events to facilitate the generation of Financial Statements.

CMS Accounting Staff utilize HIGLAS directly to record and process accounting events (funding, obligations, advances, and expenditures) for the Medicaid / CHIP government awards.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) 1.) N/A

2 & 3 -HIGLAS does not collect IIF and, therefore, no consent is required. Consent is obtained by the System Of Records for this information that forwards the data to HIGLAS. The data is collected by the Medicare FFS Claims Processing Contractors, the Medicaid and CHIP grants processing, and the CMS Legacy FACS and then is forwarded to HIGLAS to enable payments is identified in the Public Notices published in the Federal Register for SORs 09-70-0501 Carrier Medical Claims Record, 09-70-0503 Intermediary Medical Claims Record, and 09-90-0024 Unified Financial Management System (UFMS), and falls into the categories of routine use as described therein.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?: No

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: HIGLAS uses state-of-the-art technological methods to secure IIF. HIGLAS provides a much higher level of information security than previously available by meeting the following requirements for effective records security:

- Ensures that only authorized personnel have access to electronic records
- Ensures that appropriate agency personnel are trained to safeguard sensitive or classified electronic records
- Ensures that appropriate contractor staff working as agents for the agency are trained to safeguard sensitive or classified electronic records
- Minimizes the risk of unauthorized alteration or erasure of electronic records
- Ensures that electronic records security is included in computer systems security plans prepared pursuant to the Computer Security Act of 1987 (40 USC 759), HIPAA of 1996, Privacy Act of 1974, OMB Circulars A-123, A-127, and A-130, Government Information Security Reform Act, Federal Financial Management Improvement Act of 1996 (FFMIA), FSIO OFFM Core Financial System Requirements (OFFM-No-0106, January 2006).

Users have access only to the data required to perform their duties in the ORG to which they are assigned. and only within the organization to which they are assigned.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Hearing Officer Case Tracker System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? Yes

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-3005

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Hearing Officer Case Tracker System – (HOCTS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Wanda Powell, ISSO, OOM/MOG/AMD – (410) 786-0841

10. Provide an overview of the system: HOCTS is used to track cases/appeals received in the Office of Hearings. The system is used by approximately 13 users with 6 system administrators. The system tracks actions taken on each case/appeal; tracks the participants e.g., Providers, Provider Representatives, Intermediaries, Intermediary Representatives, etc. associated with each case/appeal; tracks issues associated with each case/appeal; tracks hearing dates; and generates letters to participants on a particular case/appeal and reports for CMS/OH personnel as needed.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: HOCTS collects and maintains PII such as names, mailing addresses, phones numbers and email addresses. The information is used to create cases on which a particular party is a representative. This information is mandatory in order to enable OH staff to correspond with the representatives.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A - The process of collecting the data is described within the regulations which govern how appeals should be submitted.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All CMS Systems are subject to Rules of Behavior agreements and security protocols. The information can only be accessed by authorized personnel. Computers are only accessed by an employee entering their CMS issued user-id and a password created by the user. CMS also have firewalls and security measures in place to protect unauthorized users from accessing CMS systems.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP HPES Cherokee Data Center EDC1 [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): HPES Cherokee Data Center (EDC1)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Timothy P. Walsh

10. Provide an overview of the system: This GSS provides computer platforms, telecommunications, electronic storage infrastructure, and operations support services for the collection, maintenance, and access of data and information to support the business functions of CMS. This GSS does not directly collect, maintain, or disseminate information. It provides platform support infrastructure for other CMS MA's to perform their function.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: This GSS does not directly collect, maintain, or disseminate information, but provides platform support infrastructure for other CMS MAs to perform these functions.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: No

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Incurred But Not Reported Survey System - Medicaid [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0541

5. OMB Information Collection Approval Number: 0938-0697 and 0938-0988

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Incurred But Not Reported System - Medicaid (IBNRS-Medicaid)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Maria Montilla

10. Provide an overview of the system: The Incurred But Not Reported System - Medicaid (IBNRS-Medicaid) is a web-based application used by CMS annually both to report estimated expenditures for the Medicaid Program and Children's Health Insurance Program. The purpose of the IBNRS-Medicaid application is to create an online version of two forms - the CMS-R199 Form for Medicaid Accounts Payable and Accounts Receivable as well as CMS-1080 Form for the Children's Health Insurance Program Accounts Payable and Accounts Receivable. The application converts an existing Word-based Medicaid form into an HTML-based application. It is also designed to provide the reporting and exporting of survey answers back to the Word template.

The States are required to report the latest Comprehensive Annual Financial Report (CAFR) data along with the CAFR for the previous year. The user submits the Medicaid Accounts Receivable, Accounts Payable and provides the average number of calendar days that lapse from when a Service is provided to a Medicaid beneficiary until the State reimburses the provider for the claim. For each reporting requirement in Section I and II, States are required to enter total costs as well as the portion known as the Federal Financial Participation. Section III consists of states providing the average number of calendar days that elapse from when a service is provided to a Medicaid beneficiary until the State reimburses the provider for the claim.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether

provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
NA

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: Name: required to request access to the system and determining system internal application permissions. Email: company email address, required for the purpose of business correspondence.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) NA

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Rules of least privilege; authorized personnel with approved user Id and passwords; firewall and intrusion detection; Identification badges; Key Cards; Closed Circuit TVs.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Incurred But Not Reported System - Medicare [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: OMB# 0938-0697 CMS-R199
Expiration Date: 11/30/2012 OMB# 0938-0988 CMS-10180 Expiration Date: 11/30/2012

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Incurred But Not Reported Survey System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Edward Gendron

10. Provide an overview of the system: The Incurred But Not Reported Survey (IBNRS) system is a web-based application used by the Centers for Medicare and Medicaid Services (CMS) annually both to report estimated expenditures for the Medicaid Program and Children's Health Insurance Program. The purpose of the IBNRS application is to create an online version of two forms – the CMS-R199, Form for Medicaid Accounts Payable and Accounts Receivable as well as the CMS-10180, Form for the Children's Health Insurance Program (CHIP) Accounts Payable and Accounts Receivable. The application converts an existing Word-based Medicaid form into an HTML-based application. It is also designed to provide the reporting and exporting of survey answers back to the Word template.

The States are required to report the latest Comprehensive Annual Financial Report (CAFR) data along with the CAFR for the previous year. The user submits the Medicaid Accounts Receivable, Accounts Payable and provides the average number of calendar days that elapse from when a service is provided to a Medicaid beneficiary until the State reimburses the provider for a claim. For each reporting requirement in Sections I and II, States are required to enter total costs as well as the portion known as the Federal Financial Participation. Sections III consists of states providing the average number of calendar days that elapse from when a service is provided to a Medicaid beneficiary until the State reimburses the provider for the claim.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the

individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The information collected is used annually both to report estimated expenditures for Medicaid Program and Children's Health Insurance Program (CHIP) and to report estimated expenditures for both programs.

The States are required to report the latest CAFR data as well as CAFR for the previous year. States provide the Medicaid Accounts Receivable, Accounts Payable and the average number of calendar days that elapse from when a service is provided to a beneficiary until the State reimburses the provider for a claim. The system enables States and Territories to fill out and submit their surveys electronically to CMS.

No IIF data subject to the Privacy Act is collected.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Rules of least privilege; authorized personnel with approved user Id and password; firewall and intrusion detection; Identification Badges; Key Cards; Closed Circuit TV (CCTV)

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

**06.3 HHS PIA Summary for Posting (Form) / CMS OP Information
Technology Security and Privacy - Computer Based Training [System]
PIA SUMMARY AND APPROVAL COMBINED**

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): OPM/GOVT-1

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): FMIB: CMS-OIS-602

7. System Name (Align with system Item name): Information Technology Security & Privacy (ITSP) Computer Based Training (CBT)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: William Pollak

10. Provide an overview of the system: The system provides both CMS and Contractors with the required Information Security Training via a computer based training module. In addition, the system maintains the CMS FISMA system Certification & Accreditation information.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Information is shared with the EUA database for the purpose of verifying users that are taking or have taken the required security awareness CBT. CBT is required for initial access to CMS systems and as part of annual system certification.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether

submission of personal information is voluntary or mandatory: 1) Name, Phone numbers, E-mail address, and User IDs

2) Contacting users

3) Yes

4) Mandatory

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) The Privacy statement and EUA form describes the process.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The administrative, technical, and physical controls documented in the CMS Information Security ARS - Appendix B CMSR Moderate Impact Level Data shall be applied to this system. The administrative controls for system backup, contingency planning and training are applied. The technical controls for authorized access to the system, least privileges, and password and incident management are applied. The physical controls in place that consist of security guards, identification badges, key cards, cipher locks and closed circuit TV are applied.

PIA Approval

PIA Reviewer Approval:

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Integrated Data Repository [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 4/29/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number: 009-38-01-06-01-1120-00

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0571

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Integrated Data Repository (IDR)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen M. Allen

10. Provide an overview of the system: IDR - The Integrated Data Repository is the Agency storage structure for detailed Medicare and Medicaid claims information. The primary purpose of this system is to establish an enterprise resource that will provide one integrated view of all CMS data to administer the Medicare and Medicaid programs.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): CMS staff & contractors, Federal & state agencies, researchers, OIG, GAO, DOJ for various studies, program oversight and fraud & abuse

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: IDR – Medicare claims

information (Part A, B, and D), Beneficiary Enrollment, Contract, Provider, Drug, DME and other reference data is collected for CMS mission and program requirements. The information is PII, and includes such data as name, DOB, SSN, mailing address, HICN, UPIN, race, sex. The submission of said information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) NA

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?: No

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN): Yes

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: IDR operates in the CMS Baltimore Data Center and is regulated by the GSS and other security guidelines enforced by CMS.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Suanders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Medicaid-CHIP Payment Error Rate Measurement Project - HDI [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0578 (PERM)

5. OMB Information Collection Approval Number: 0938-1012 (PERM)

0938-0974 (PERM)

0938-0994 (PERM)

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): CMS OFM Medicaid/ CHIP Payment Error Rate Measurement- HDI

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Christopher King

10. Provide an overview of the system: PERM: CMS has contracted with 3 federal contractors to identify error rates within the Medicaid and SCHIP programs. These systems collect FFS claims, managed care payments, and eligibility information for both programs.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
PERM: The 3 PERM contractors only share PERM data among themselves, as each is responsible for a separate piece of the entire PERM system. No other entity gets this data.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: PERM: CMS published a system of records for the 3 PERM systems on May 16, 2006. The primary purpose of the PERM systems is to collect and maintain individually identifiable claims information in order to calculate payment error rates for the Medicaid and CHIP programs. Information on Medicaid and CHIP beneficiary eligibility from the annual random sample is also collected. Collection of this information has been identified as a “routine use” under the Privacy Act.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) PERM: CMS collects only the information necessary to carry out its statutory mandate to estimate the amount of improper payments made in the Medicaid and SCHIP programs. Per the PERM System of Records, CMS will make disclosures from the PERM system only with the consent of the subject individual, or his/her legal representative, or in accordance with the applicable exception provision of the Privacy Act. Information in the system is acquired either directly from the states or from Medicaid or CHIP providers.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: PERM: Users need a valid user ID and password to access the system, Systems are protected by locked doors and alarm systems. Visitors must be “buzzed in” or pass through a receptionist.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Medicare Administrative Issue Tracker and Reporting of Operations [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0598

5. OMB Information Collection Approval Number: NA – The public does not access the system.

6. Other Identifying Number(s): Contract #: HHSM-500-2008-00061C

7. System Name (Align with system Item name): Medicare Administrative Issues Tracker and Reporting of Operations (MAISTRO) System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Malvin White, Associate Regional Administrator (ARA), Seattle RO

10. Provide an overview of the system: The MAISTRO system provides a tool for Central and Regional Office staff and management to record, track, and monitor inquiries and complaints from the public relating to Medicare Part A and Part B systems and program matters. It also provides a mechanism for reporting data on a national level and facilitates strategic analysis of trends and CMS resolutions.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): MAISTRO data are accessible only to staff within CMS Central and Regional Offices for responses to Medicare Part A, Part B, and HITECH inquiries or complaints and to limited staff of the system maintainer/developer.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: MAISTRO will record, track and monitor beneficiary and provider level inquiries and complaints. PII collected in MAISTRO include: name, address, date of birth, Medicare number (HICN), email address, phone number. The system will contain information needed to research and resolve complaints or inquiries. Depending on the issues, a record may contain the PII identified above. Submission of PII is voluntary, though some inquiries may not be resolvable without basic identifying information.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] No formal process is in place to notify and obtain consent from individuals whose PII is collected in MAISTRO. However, such consent is implied when callers request assistance from CMS. The business purpose of MAISTRO is to track inquiries that come to CMS in a variety of forms, while providing CMS employees with a standardized tracking system to record those inquiries and resolve Medicare Part A and Part B inquiries accurately and promptly. Depending on the issues presented, PII may be collected as part of the CMS routine intake process using MAISTRO as the data repository.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All data are secured in accordance with CMS controls within the CMS Data Center and as described in the MAISTRO Systems Security Plan (SSP).

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Medicare Geographic Classification Review Board Calculator Program [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-3005

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Medicare Geographic Classification Review Board Calculator Program – MGCRB CP

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Wanda Powell, ISSO, OOM/MOG/AMD – (410) 786-0841

10. Provide an overview of the system: The MGCRB CP allows the Office of Hearings to process the data from the completed applications of request from hospitals to be reclassified. The program is used by approximately 11 users with 5 system administrators. The MGCRB CP prints case summaries that show whether a hospital meets the criteria for reclassification. The MGCRB CP also tracks the decisions made by the Board and prints decision letters for contacts on the case.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: MGCRB CP collects and maintains PII such as names, mailing addresses, phones numbers and email addresses. The information is used to create cases on which a particular party is a representative. This information is mandatory in order to enable OH staff to correspond with the representatives.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A - The process of collecting the data is described within the regulations which govern how appeals should be submitted.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All CMS Systems are subject to Rules of Behavior agreements and security protocols. The information can only be accessed by authorized personnel. Computers are only accessed by an employee entering their CMS issued user-id and a password created by the user. CMS also have firewalls and security measures in place to protect unauthorized users from accessing CMS systems

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Medicare Geographic Classification Review Board Case Tracker System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-3005

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Medicare Geographic Classification Review Board Case Tracker System (MGCRB Tracker)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Wanda Powell

10. Provide an overview of the system: MGCRB Tracker allows the Office of Hearings to manage cases related to requests from providers for geographic reclassification and issuance of decisions by the Medicare Geographic Classification Review Board. The system is used by approximately 11 users with 5 system administrators. The system tracks actions taken on each case; tracks the contacts (providers, provider representatives, intermediaries, intermediary representatives) associated with each case; tracks ehearing dates; and generate letters to contacts on a particular case and reports for CMS/OH personnel as needed.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
NA

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: MGCRB Tracker collects and maintains PII such as name, mailing address, phone number, and email address. The information is used to create cases on which a particular party is a representative. This information is mandatory in order to enable OH staff to correspond with the representative.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A - The process of collecting the data is described within the regulations which govern how appeals should be submitted.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All CMS systems are subject to the Rules of Behavior agreements and security protocols. The information can only be accessed by authorized personnel. Computers are only accessed by an employee entering their CMS User Id and a password created by the user. CMS also has firewalls and security measures in place to protect unauthorized users from accessing CMS systems.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Medicare Provider Analysis and Review System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): MEDPAR- Medicare Provider Analysis & Review

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Allen

10. Provide an overview of the system: The MEDPAR system is the repository of beneficiary stay data in Inpatient Hospital or Skilled Nursing Facility in a mainframe environment .

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: N/A

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: MEDPAR is run in the CMS data center

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP MSP Automated Recovery and Tracking Initiative [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503, 09-70-0536, 09-70-0558, 09-70-0008

5. OMB Information Collection Approval Number: None

6. Other Identifying Number(s): None

7. System Name (Align with system Item name): MSP Automated Tracking and Recovery Initiative (MARTI)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Bill Mohney

10. Provide an overview of the system: The MARTI system is often referred to generically as a liability system although it also includes no-fault and workers' compensation cases (it also separately tracks cases under the categories of liability, no-fault, workers' compensation, and medical malpractice even though medical malpractice is a subcategory of liability). Access is granted via a user secure Citrix session. MARTI resides at the Cahaba GBA Riverchase building, Birmingham. The application is maintained by VIPS via MDCN.

Application availability is contingent upon MDCN availability, terminating circuits at each MSPRC location as well as the MDCN cloud.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Beneficiary's attorneys after verification of consent to release.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: MARTI collects beneficiary information related to Medicare claims from Remas. This information includes Name, Address, HICN, and SSN. Additional or updated information may be gathered from the beneficiary such as updated address and phone number. This information is used by the MSPRC to verify the identity of the beneficiary prior to discussing any case. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) MARTI is not designated as SOR. IIF data is supplied to these systems by Remas. Consent to release forms are available to beneficiaries to allow their attorneys to interact with MSPRC associates on their behalf. All data in these systems is available ONLY to MSPRC personnel. All consent forms are hard copy, written notice.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All personnel having system access are screened by their respective HR departments. Technical security requirements include but are not limited to: user accounts, passwords, access limitation, reset procedures, suspension requirements, auditing procedures, and authenticator requirements. SMART information is processed through mainframe applications and a systematic inventory of all library tapes is maintained electronically by a tape management system and is handled according to IT procedures. System data and DB2 data are mirrored to DASD using TruCopy (Asynchronous backup) and Shadow Image (Point in Time backup) but are also backed up to tape weekly. Physical access to informational assets adheres to the principle of “least privilege.” Access to areas where confidential information is processed, transmitted, or stored, is only allowed by those who have been authorized and whose duties require them to physically access the devices or media. For example, associates have authorization to access claims data, but their duties would not require them to have access to the network closets, server rooms, or backup vaults, where such data is transmitted, processed, and stored.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP My Personal Health Record South Carolina [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2010

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501 (MCS)

09-70-0502 (EDB)

09-70-0503 (FISS)

DoD SORN: DHA 07 “ Military Health Information System” March 30, 2006, 71 FR 16127

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): 2601

7. System Name (Align with system Item name): My Personal Health Record, South Carolina (MyPHRSC)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Michael Pagels, ISSO – 410-786- 5759; Chrislyn Gayhead P.O. – 410-786-6429

10. Provide an overview of the system: The Personal Health Record (PHR) is a tool that helps a consumer gather, store, manage, and share their health data. The tool gives beneficiaries the opportunity to manage information from a variety of sources, including self-entered data. The system maintains pre-populated Medicare fee-for-service and TRICARE medication claims data.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):

Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Medicare Claims and eligibility information and TRICARE for Life medication data are available to Medicare beneficiaries, and those with TRICARE For Life coverage via the PHR portal. The information is used by beneficiaries to manage their personal health care. Additionally, the purpose of the project is to evaluate outreach methods to educate beneficiaries about PHRs, explain the benefits of PHRs, and encourage PHR registration.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: Hospitalizations (pre-populated): diagnoses which caused the inpatient stay, admission and discharge dates;

Procedures and/or Surgeries (pre-populated): associated diagnoses, procedure dates;

Office Visits (pre-populated): Diagnoses;

Emergency contact information: name, relationship, phone number (self populated);

Medications (self populated unless the individual has TRICARE for Life): prescriptions, over-the-counter medications, vitamins, supplements;

Allergies: to medications, animals, insects and other substances (self populated);

Laboratory tests (pre-populated if possible);

Provider information (pre-populated): name, phone number and specialty. In addition, the beneficiary may self-enter any of the above information at his or her discretion into the PHR. TRICARE for Life medications (pre-populated) on request.

The information within the PHR belongs to the beneficiary and is only viewable by the beneficiary and those granted access by the beneficiary.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Beneficiaries with Medicare are notified they can voluntarily authorize their claims data to be populated into MyPHRSC through a mymedicare.gov email, through newspaper ads, newsletter articles, and various mailings. During the initial registration process, the beneficiary must authorize the population of their data into the PHR. No information transfers into the PHR without the beneficiary's on-line consent. Individuals are prompted by the tool itself to self-identify as a TRICARE for Life beneficiary and proceed to an authorization page to direct the TMA to populate the PHR with the beneficiary's TRICARE data. If there are major changes to the system, beneficiaries will be notified when data use or disclosure changes occur in the system. Subsequently the beneficiary will have to provide consent with respect to the changes when they Sign Into their PHR.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: • MyPHRSC has been developed using architectural guidelines similar to CMS's Technical Reference Architecture (3-Zone) principles. Following are some of the CMS TRA (3-Zone) based Security features:

- o Has multiple Zones as defined in CMS's TRA. This includes the Presentation, Application and Data zones, Management Zone (provides monitoring and management support), the Transport Zone (contains network elements like routers and switches along with security devices like Intrusion Detection & Prevention/Firewalls etc.)
- o Has the necessary protection mechanisms built between the various layers or zones. The protection mechanisms include firewalls and IDP systems
- o Complies with the J2EE Application Development Guidelines
- o Redundancy built in the network and server infrastructure (redundant routers, load balancers etc.,)
- o Secure Baseline configuration
- o Every layer has implemented a VLAN. The VLAN provides additional security by hiding the internal servers through proper configuration.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Anthony Trenkle

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP National Claims History [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0558

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): NCH- National Claims History

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Allen

10. Provide an overview of the system: NCH Processing Reports -The National Claims History Processing Reports detail by type of service the monthly and cumulative year-to-date totals of the number of claims processed and dollar amounts of adjudicated claims. NCH Statistical Table System-This system produces various utilization tales of Medicare services. NCH Summary- This system creates individual line item files for Medicare services and summarizes various pieces of information to feed to the Part B Extract and Summary System(BESS). NCH Nearline Update and Maintenance System – The 100% Nearline File is the repository of all common working file(CWF) processed Part A and Part B detailed claims transaction records, beginning with service year 1991. The NCH contains both institutional claims processed by Fiscal Intermediaries (FI) and noninstitutional claims processed by local carriers and DMERCs.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): NCH Processing Reports(NCHSTS)–CMS staff/contractors, NCH Summary(NCHSUM)-CMS staff/contractors, NCH Statistical Table System(NCHSTS)-CMS staff/contractors, NCH Nearline Update and Maintenance System–CMS staff/contractors; Federal and State agencies, researchers; hospitals, OIG, GAO and DOJ.

The information retrieved from this system of records will also be disclosed to: (1) Support regulatory, reimbursement, and policy functions performed within the agency or by a contractor, consultant, or grantee; (2) assist another Federal or state agency, agency of a state government, an agency established by state law, or its fiscal agent; (3) support providers and suppliers of services for administration of Title XVIII; (4) assist third parties where the contact is expected to have information relating to the individual's capacity to manage his or her own affairs; (5) assist QIOs; (6) process individual insurance claims by other insurers; (7) facilitate research on the quality and effectiveness of care provided, as well as payment-related projects; (8) support litigation involving the agency; and (9) combat fraud, waste, and abuse in Federally-funded health benefits programs.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: 1.) NCH Medicare Part A and Part B claims data, which includes but is not limited to Medicare billing and utilization data, name, health insurance claim number, ethnicity, gender, date of birth, state and county code, zip code, as well as the basis for the beneficiary's Medicare entitlement. The system also contains provider characteristics, assigned provider number (facility, referring/servicing physician), admission date, service dates, diagnosis and procedural codes, total charges, Medicare payment amount, and beneficiary's liability.

2.) The primary purpose of this modified system is to collect and maintain billing and utilization data on Medicare beneficiaries enrolled in hospital insurance (Part A) or medical insurance (Part B) of the Medicare program for statistical and research purposes related to evaluating and studying the operation and effectiveness of the Medicare program.

3.) This data collected contains PII data.

4.) The collection of this data is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: APCSS runs this system in the data center

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP National Medicare Utilization Database [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0558

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): National Medicare Utilization Database (NMUD)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Allen

10. Provide an overview of the system: NMUD is a DB2 data warehouse of adjudicated Medicare claims. NMUD contains a history extract of adjudicated inpatient, skilled nursing facility (SNF), outpatient, DMERC, Home Health and Hospice claim types. History for these claim types has been loaded into NMUD on a monthly bases starting in 1998. Over twelve complete years of claims history, 1998 through 2009 is stored in NMUD. History for 2010 is currently being loaded into the NMUD database via the ETL (Extract Transform & Load) application called the NMUD Monthly Refresh Process. NMUD was developed to support Medicare claim utilization analysis.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
NMUD is a data warehouse that contains PII in the Medicare claims history. Key users of data stored in NMUD are:

- 1) Risk Adjustment System (RAS) – uses the claim diagnosis data to calculate the bene risk adjustment factors for determine the payments to MAO plan
- 2) Data Extract Software System (DESY) – provides Medicare claim data extracts for internal and external business entities

Authorized researchers – uses the data to support various investigations and analysis

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: 1) Medicare claim history data, including but not limited to Medicare billing and utilization data, name, health insurance claim number, ethnicity, gender, date of birth, state and county code, zip code, as well as the basis for the beneficiary's Medicare entitlement. The system also contains provider characteristics, assigned provider number (facility, referring/servicing physician), admission date, service dates, diagnosis and procedural codes, total charges, Medicare payment amount, and beneficiary's liability.

- 2) Support statistical analysis and investigations
- 3) Yes, the data includes PII data
- 4) Mandatory

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] 1) None

- 2) None
- 3) Used internally by authorized CMS staff and applications; not shared externally

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Data is secured according to CMS Baltimore Data Center Security Standards

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP One Program Integrity [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0571 ; 09-70-0568

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): Unique Project Identifier (UPI) Number: 0908

7. System Name (Align with system Item name): CMS One Program Integrity (OnePI)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Darlene Anderson (CPI/DACG)

10. Provide an overview of the system: The One PI system provides modernized data analysis capability for CMS and its contractors. The One PI portal provides a secure, centralized point of entry for users. The portal implements many features, including role-based security to constrain access to the system/information and team collaboration features such as document management and calendars. All users will access the One PI system through the One PI portal.

The One PI Portal initial analytical capability includes Business Objects Info View and Advantage Suite Decision Analyst – two commercially available (COTS) products.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Planned users of OnePI consist of staff of the Center for Program integrity (CPI), other CMS

Centers/Groups/Divisions, CMS contractors, and other government entities that support program safeguard functions. Users will have access to PII data on a need to know basis.

Users of OnePI are responsible for supporting efforts to protect healthcare expenditures by supporting program integrity functions and combating fraud, waste and abuse in Medicare and Medicaid.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The primary purpose of this system is to establish an enterprise resource that will provide a single source of information for all CMS fraud, waste, and abuse activities. The data contained in this system of records are extracted from other CMS systems of records: Medicare Drug Data Processing System; Medicare Beneficiary Database; Medicare Advantage Prescription Drug System; State Medicaid Records; Medicaid Statistical Information System; Retiree Drug Subsidy Program; Common Working File; National Claims History; Enrollment Database; Carrier Medicare Claims Record; Intermediary Medicare Claims Record; Unique Physician/Provider Identification Number; Provider Enrollment Chain & Ownership System (PECOS); and Medicare Supplier Identification File.

The PII data that the system includes name, DOB, SSN, HICN, mailing addresses, phone numbers. The submission of the data is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Not required for fraud, waste, and abuse purposes.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):

Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The One PI system processes its information and stores its data using components housed within the Baltimore Data Center (BDC) to enforce separation of duties and least privilege access rights. One PI applies a role based access control (RBAC) model that controls data access at all levels of the application.

The One PI User Authorization Process document defines the process for authorizing and provisioning new users to the One PI system. The One PI User Authorization Process consists of manual and automated processes that authorize, create, and provision One PI IDs for new system users.

The One PI system utilizes the current CMS EUA system and associated processes for managing user authorizations for One PI. User job codes are used to assign the One PI defined system roles to the user accounts created by EUA.

Users are required to take Security Awareness training annually. Configuration Management processes are in place to ensure that any changes to the system are properly documented, tested, and deployed. The Configuration Management process also ensures that all changes are properly authorized.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP OOM Activity Tracking System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Office of Operations Activity Tracking System (OATS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Erica Hall, IT Specialist, OOM/MOG/AMD – (410) 786-0738

10. Provide an overview of the system: The OOM Activity Tracking System is located at CMS Central Site (7500 Security Boulevard, Baltimore, MD 21244) on the CMS Network. The OOM Activity Tracking System allows users to review, update, add and report tasks and assignments at various designated levels. Dependent on user level access, designated screens are available to track tasks and assignments.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: OATS collects and maintains PII such as names and email addresses. This mandatory information is used to notify an employee that a task has been created and assigned to the employee's specific component.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All CMS Systems are subject to Rules of Behavior agreements and security protocols. The information can only be accessed by authorized personnel. Computers are only accessed by an employee entering their CMS issued user-id and a password created by the user. CMS also have firewalls and security measures in place to protect unauthorized users from accessing CMS systems.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Part B Data Extract and Summary System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Part B Extract and Summary System (BESS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Timothy Lynch

10. Provide an overview of the system: Part B Extract and Summary System (BESS).

The BESS system provides summary level Part B information in a mainframe environment. It is an online, menu driven query system that enables users to access data files and extract Part B/DMERC claims information

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
n/a

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: n/a

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) n/a

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: BESS is run in the CMS data center

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Payment Record Processing [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501

5. OMB Information Collection Approval Number: na

6. Other Identifying Number(s): na

7. System Name (Align with system Item name): Medicare Beneficiary Payment Record Process (MBPRP)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Karen Allen

10. Provide an overview of the system: The PRP application processes Part A Intermediary files which are created on a weekly basis by the Medicare Quality Assurance (MQA) system. It processes the Ric V (Inpatient/SNF/Hospice/Home Health Part A claims) and Ric W (Outpatient/Home Health Part B claims) files, and creates record files for subsequent use by other systems, one of the primary being the Statistical Tabulation System (STS).

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Statistical Tabulation System (STS) – for the purpose of creating statistical reports that support Medicare trend analysis

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: 1) Medicare claim history data, which includes PII data including name, DOB, SSN, medical records, medical notes, HICN

2) Support Medicare trend analysis

3) Yes

4) Mandatory

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] 1) None

2) None

3) Used internally by CMS staff; not shared externally

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Data is secured according to CMS Baltimore Data Center Security Standards

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Physician Supplier Overpayment Reporting System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0578

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): NA

7. System Name (Align with system Item name): Physician/Supplier Overpayment Reporting System (PSOR)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Antoinette Miller

10. Provide an overview of the system: PSOR: Tracks Part B overpayment and collections.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
PSOR: The PSOR system shares data with the Debt Collection System in order to

(1) Support regulatory and policy functions performed within the Agency or by a contractor, consultant or grantee; (2) assist another Federal or state agency in the proper administration of the Medicare program,

enable such agency to administer a Federal health benefits program, and/or assist Federal/state Medicaid programs within the state; (3) support constituent requests made to a Congressional representative; (4) to support litigation involving the Agency related to this system; and (5) combat fraud and abuse in certain health benefits programs.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: PSOR: This system utilized data to collect Part B overpayment at collection (i.e., recovery) information. This data included to complete this purpose includes, but is not limited to, name, Medicaid and SCHIP identification number, Medicaid and SCHIP claims data, provider's medical records, claim numbers, managed care capitation payment data, and eligibility-related information on the Medicaid and SCHIP beneficiaries included in the eligibility sample. A minimal level of data is collected due to privacy consideration. This data contains PII data. Collection of the data is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Information is obtained from post-payment review and is collected from providers. It is conveyed by written demand letter.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: PSOR: ID and password are required to enter the system.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Program Integrity Management Reporting System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): OFM 225

7. System Name (Align with system Item name): PIMR: Program Integrity Management Reporting System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Susan Frank

10. Provide an overview of the system: CMS is responsible for providing direction, technical guidance and funding to contractors for the nationwide administration of CMS's Medicare program. PIMR serves as the central repository used by the Program Integrity Group for budget and oversight responsibilities and congressional reporting of Medicare fraud, waste and abuse. The system provides the CMS Program Integrity Group, and Medicare contractors operating across the country with the necessary tools and reports to track Medicare fraud and abuse activities and subsequently aid in safeguarding the Medicare Trust Fund.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: PIMR collects, validates, and consolidates on a monthly basis, operational and workload data from 70 Medicare contractors across the country as well as contractor administrative budget and financial management data from CMS systems into a single reporting system at CMS.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] There is no PII data.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Provider Overpayment Reporting System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: Initial PIA Migration to ProSight

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Provider Overpayment Reporting System (PORS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Antoinette Miller

10. Provide an overview of the system: PSOR: Tracks Part A overpayment and collections.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: PORS: This system collects

Part A overpayment at collection (i.e., recovery) information. A minimal level of data is collected due to privacy consideration.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) Information is obtained from post-payment review and is collected from providers. It is conveyed by written demand letter.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: ID and password are required to enter the system.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Provider Reimbursement Review Board Case Tracker System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-3005

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Provider Reimbursement Review Board Case Tracker System (PRRB CTS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Wanda Powell, ISSO, OOM/MOG/AMD – (410) 786-0841

10. Provide an overview of the system: The PRRB CTS is used to track cases/appeals received in the Office of Hearings. The system is used by approximately 25 users with 6 system administrators. The system tracks actions taken on each case/appeal; tracks the participants e.g., Providers, Provider Representatives, Intermediaries, Intermediary Representatives, etc. associated with each case/appeal; tracks issues associated with each case/appeal; tracks hearing dates; and generate letters to participants on a particular case/appeal and reports for CMS/OH personnel as needed.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: PRRB CTS collects and maintains PII such as names, mailing addresses, phones numbers and email addresses. The information is used to create cases on which a particular party is a representative. This information is mandatory in order to enable OH staff to correspond with the representatives.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A - The process of collecting the data is described within the regulations which govern how appeals should be submitted.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All CMS Systems are subject to Rules of Behavior agreements and security protocols. The information can only be accessed by authorized personnel. Computers are only accessed by an employee entering their CMS issued user-id and a password created by the user. CMS also have firewalls and security measures in place to protect unauthorized users from accessing CMS systems.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Provider Statistical and Reimbursement System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503

5. OMB Information Collection Approval Number: n/a

6. Other Identifying Number(s): OFM 476

7. System Name (Align with system Item name): Provider Statistical and Reimbursement System (PS&R)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Ray McMasters / Owen Osaghae

10. Provide an overview of the system: PS&R was developed and maintained by CGI Federal for CMS. It is used by Fiscal intermediaries (FIs) and A/B MACs to accumulate the statistical and reimbursement data applicable to the Medicare claims processed. It summarizes these data on reports that are used by providers and FIs and A/B MACs to complete key elements of the Medicare cost report. The Medicare cost report has changed significantly due to the change in reimbursement methodologies from primarily a cost reimbursed system to a prospective payment system (PPS). PS&R data are subsequently used by the FI or A/B MAC to settle Medicare cost reports. PS&R permits the FIs, A/B MACs, and providers to utilize the system produced reports to accumulate statistical and payment data for hospitals, hospital complexes, skilled nursing homes, and home health agencies. Section 1815(a) and 1833(e) of the Social Security Act authorizes these activities.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: PS&R (Legacy): PS&R processes all Medicare Part A post-payment claims, identifying each line item service based on fee and cost-based reporting criteria, and assign PS&R report types per provider per provider. The information used by this system is to accumulate the statistical and reimbursement data applicable to the Medicare claims processed to create and settle Medicare cost reports. The system is also utilized to produce reports to accumulate statistical and payment data for hospitals, hospital complexes, skilled nursing homes, and home health agencies. This data includes PII, including name, HICN, SSN, medical reports, cost of service. In order for the provider to reconcile its data and prepare for its cost report submission, it must be able to tie back the aggregated report amounts to the individual detail claims. The aggregated summary reports do not contain any sensitive information. It is only at the input paid claims and detail level that privacy-related information is present. The detail claims level is the minimum necessary to accomplish the purpose for the system, as, from an auditing and reimbursement perspective, the provider and intermediary must be able to tie summary totals back to the detailed claims records. Submission of the data that is collected is mandatory in order to generate these reports.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] PS&R (Legacy): The information is present on the paid claims record, the format of which is specified by the FISS shared system. Claims, submitted by providers or billing houses, using the Common Working File system, are placed into this paid claims format for input into PS&R. This information is not shared with individuals nor is consent given for the data to be shared with individuals. The data is available to providers who provide services to Medicare beneficiaries, and is available to providers in summary and detail form.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: PS&R (New): The PS&R data is stored on

an internal network that operates in a building secure by electronic entry devices. Users are required to sign onto the PS&R system with an approved user-id and password in order to request this information. Information is secured at each Fiscal Intermediary (FI) and Medicare Administrative Contractor (MAC) data center. Once in the PS&R system, access is restricted to the applicable FI/MAC, who has the responsibility for forwarding the detail and summary reports to its providers.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Purchase Request Information System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-3005

5. OMB Information Collection Approval Number: NA

6. Other Identifying Number(s): PRISM

7. System Name (Align with system Item name): Purchase Request Information System

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: James Woods

10. Provide an overview of the system: PRISM – This COTS system tracks CMS contract and purchase order activity and produces documents and data for the FPDS-NG system.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
PRISM - The information that is collected is voluntary information which is public information also contained in the federal CCR (Central Contractor Registry). This information is contained in the PRISM Vendor File. It included all information contained in SF 179. This data included vendor name, address, phone number, TIN, EIN, and DUNS numbers. The agency only used this data in order to mail documents to the vendor and to report to the Federal Procurement Data System (FPDS-NG).

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: IIF information is collected only for PRISM.

PRISM - The information that is collected is voluntary information which is public information also contained in the federal CCR (Central Contractor Registry). This information is contained in the PRISM Vendor File. It included all information contained in SF 179. This data included vendor name, address, phone number, TIN, EIN, and DUNS numbers. The agency only used this data in order to mail documents to the vendor and to report to the Federal Procurement Data System (FPDS-NG).

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) • notify and obtain consent from the individuals whose IIF is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection)

PRISM - Vendors can be contacted if necessary by way of generating mailing labels from the PRISM vendor file data. Any change in the use of this data would only be mandated by a change in federal statute or regulation.

- notify and obtain consent from individuals regarding what IIF is being collected from them and how the information will be used or shared:

PRISM - Vendors can be contacted if necessary by way of generating mailing labels from the PRISM vendor file data. Any change in the use of this data would only be mandated by a change in federal statute or regulation

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: PRISM - The PRISM system is available to a small user base (125 users), and IIF is secured using network authentication for tool access and database authentication for data access

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2010

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Recovery Audit Contractor Data Warehouse [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Recovery Audit Contractor Data Warehouse (RAC)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: LT Terrence Lew, USPHS

10. Provide an overview of the system: The four Recovery Audit Contractors (RACs) are charged with identifying and correcting improper payments made under FFS Medicare; the program started as a three-state demonstration and was made permanent under section 302 of the Tax Relief and Healthcare Act (2006). The RAC Data Warehouse is an internal system that allows CMS to monitor RAC activities, track collections and restoration of underpayments and prevent interface with program integrity or law enforcement investigations.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
No

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: The RAC Data Warehouse collects selected claim elements (workload numbers, claim numbers, provider numbers, DRG/ICD-9/HCPCS codes and amounts paid) as well as the dates of various actions taken on those claims. However, it does not contain PII such as HIC numbers, any of the elements listed in Items #17/19/22/38 in the main PIA, or any other information that could be used to identify the beneficiaries associated with those claims. Information is collected from the Recovery Audit Contractors, claim processing contractors and various program integrity/law enforcement entities for the purpose of monitoring RAC activity and preventing interference with fraud control activities.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII):
Yes

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: The RAC Data Warehouse does not contain PII, although it is physically located at the CDS data center in Columbia, SC. (The system operates on the data center's commercial infrastructure, not within the EDC environment, but it is protected by the same physical safeguards.)

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Recovery Management and Accounting System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503, 09-70-0536, 09-70-0558, 09-70-0008

5. OMB Information Collection Approval Number: None

6. Other Identifying Number(s): None

7. System Name (Align with system Item name): Recovery Management and Accounting System (ReMAS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Bill Mohney

10. Provide an overview of the system: Recovery Management and Accounting System (ReMAS): In most instances, Medicare is the primary payer for Medicare covered services furnished to Medicare beneficiaries. This means that Medicare's full authorized payment is made without considering any other insurance available to the Medicare beneficiary. In some instances where other insurance is available to pay for the furnished services and other conditions are satisfied, Medicare payment is secondary to the payment obligation of the other insurance. The applicable statute is 42 U.S.C. 1395y(b) and the applicable regulations are 42 C.F.R.411 Subparts B-H. If Medicare makes a mistaken primary payment in such a situation, Medicare pursues recovery of the mistaken primary payment from an appropriate party. Appropriate parties include providers, suppliers, insurers, employers, beneficiaries and other applicable parties. Once identified, the mistaken primary payments are considered debts to the United States and accounted for on that basis in Medicare's accounting system and financial statements. ReMAS identifies instances where Medicare made a mistaken or conditional primary payment when it should have been the secondary payer. Claims are then identified and put into cases for the applicable debtor.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass

through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
ReMAS: Shares data with Debt Collection System, DOJ, Attorneys, MSPRC for the purpose of recovering monies due to the Trust Fund.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: ReMAS obtains identifying information (name, address, etc.) about beneficiaries that should have been covered under another insurance. Claim information for those beneficiaries is also obtained so that users of ReMAS can identify whether each specific claim paid by Medicare was a mistaken or conditional payment that needs to be recouped. Identifying information (name, address, etc.) about providers and suppliers is also captured because that information is needed in order to develop a demand letter to the appropriate party. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) ReMAS has several electronic interfaces with other systems. Beneficiary data will be obtained from the Medicare Beneficiary Database (MBD). Claims data are obtained from National Claims History (NCH) and National Medicare Utilization Database (NMUD) via the Data Extract System (DESY). Provider data will be obtained from the OSCAR, NSC, NPI and STARS systems. Memorandums of Understanding/Data Use Agreements between ReMAS and all other interfacing systems have been established.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: Normal CMS Data Center physical security applies to all systems. Additionally:

REMAS: The data in ReMAS will be secured through application security at the user level. Access to specific sets of data has also been set up at the database level.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP State Phased-Down Billing System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): NA

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): State Phased-Down Billing System (SPDBS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Kayla Williams

10. Provide an overview of the system: The SPDBS is the CMS system of record for billing and processing the collection of monies from the States to defray a portion of the Medicare drug expenditures for individuals whose projected Medicaid drug coverage is assumed by Medicare Part D. The SPDBS was developed as a COBOL program and flat file batch process and resides on the mainframe at the CMS Computer Center. The SPDBS does not interface with any databases or CICS.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: Once a month, the SPDBS receives as input three flat files provided by CMS internal components. CMSO and the MBD provide one dataset containing a count of the number of new Medicare beneficiary enrollments and disenrollments for which the states are to be held responsible. OACT provides one dataset containing the monthly state billing rates to be applied. OFM provides one dataset containing a record of the state's payments that have been posted in the previous month. SPDBS simply receives the new state enrollment counts from the MBD, multiples those numbers by the billing rates from OACT to generate a new state liability charge. SPDBS then develops a Summary Accounting Statement showing the previous month's balance, the payments posted provided by OFM, the new liability charges that have been calculated, and the resulting new account balances. All this information is also recorded in a state account ledger and other CMS billing summary documentation.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) N/A

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: N/A

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP System for MSP Automated Recovery and Tracking [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): 09-70-0501, 09-70-0503, 09-70-0536, 09-70-0558, 09-70-0008

5. OMB Information Collection Approval Number: None

6. Other Identifying Number(s): None

7. System Name (Align with system Item name): System for MSP Automated Recovery & Tracking (SMART)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Bill Mohney

10. Provide an overview of the system: SMART is a Power Builder application hosted via a secure Citrix session. The backend data resides on a clustered SQL server environment. Access is granted via a user secure Citrix session. SMART resides in the Cahaba GBA Riverchase building in Birmingham. The application is maintained by VIPS via MDCN. Application availability is contingent upon MDCN availability, terminating circuits at each MSPRC location as well as the MDCN cloud.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): Yes

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
Yes Employers and Insurers to ensure recovery of debt.

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this

description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: SMART collects beneficiary information related to Medicare claims from Remas. This information includes Name, Address, HICN, and SSN. Additional or updated information may be gathered from the beneficiary such as updated address and phone number. This information is used by the MSPRC to verify the identity of the beneficiary prior to discussing any case. The submission of personal information is mandatory.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] PII data is supplied to these systems by ReMAS. All data in these systems is available only to MSPRC personnel.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All personnel having system access are screened by their respective HR departments. Technical security requirements include but are not limited to: user accounts, passwords, access limitation, reset procedures, suspension requirements, auditing procedures, and authenticator requirements. SMART information is processed through mainframe applications and a systematic inventory of all library tapes is maintained electronically by a tape management system and is handled according to IT procedures. System data and DB2 data are mirrored to DASD using TruCopy (Asynchronous backup) and Shadow Image (Point in Time backup) but are also backed up to tape weekly. Physical access to informational assets adheres to the principle of "least privilege." Access to areas where confidential information is processed, transmitted, or stored, is only allowed by those who have been authorized and whose duties require them to physically access the devices or media. For example, associates have authorization to access claims data, but their duties would not require them to have access to the network closets, server rooms, or backup vaults, where such data is transmitted, processed, and stored.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OP Warehouse Librarian [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Warehouse Librarian (WL)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Louis Gamerman

10. Provide an overview of the system: The Warehouse Librarian system is a COTS product that manages CMS warehouse inventory (forms, publications, misc items) and warehouse orders for those items. The system is physically located at 7500 Security Boulevard, with components in both the CMS data center and the CMS warehouse facility. The system resides on a private network, isolated from the rest of the CMS network.

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
Yes

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s): Customer names may be shared with warehouse fulfillment personnel, as it is necessary in order to ship orders to customers who requested warehouse items (customers are supposed to request shipment to business address, so it is assumed that any address applied are business, rather than personal mailing addresses).

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: 1. The agency collects names of internal CMS customers and details about their orders. The data being collected is considered PII data but it is not subject to the Privacy Act due to the data being federal employee contact information. 2. It does so in order to ship out orders to internal CMS customers and allow them to track their order status. 3. The system maintains their names until the order is wiped from the system during regular order info purging. 4. Internal CMS customer name is mandatory and required in order to receive the shipped package (e.g. designated recipient of the package).

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]) 1. If there is a change in how customers PII are used, policies will be updated on the system where customers provide name information (this is a separate system from WL and outside of its scope). WL receives extract files from the system. 2. When customers place an order, they agree to have their names stored with their account information and included with their business shipping addresses. 3. They also are notified that their names will be needed when they are asked for a shipping address for orders (if they don't agree, they can elect not to place an order).

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: All CMS Systems are subject to Rules of Behavior agreements and security protocols. The information can only be accessed by authorized personnel. Computers are only accessed by an employee entering their CMS issued user-id and a password created by the user. CMS also has firewalls and security measures in place to protect unauthorized users from accessing CMS systems. The system itself is on a private isolated network which is only accessible from a guarded location in the CMS warehouse, which is locked up during non-business hours.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

Date Published: February 13, 2012

06.3 HHS PIA Summary for Posting (Form) / CMS OSORA Audits Tracking and Reporting System [System]

PIA SUMMARY AND APPROVAL COMBINED

PIA Summary

Is this a new PIA 2011? No

If this is an existing PIA, please provide a reason for revision: PIA Validation

1. Date of this Submission: 6/30/2011

2. OPDIV Name: CMS

3. Unique Project Identifier (UPI) Number:

4. Privacy Act System of Records (SOR) Number (If response to Q.21 is Yes, a SORN number is required for Q.4): N/A

5. OMB Information Collection Approval Number: N/A

6. Other Identifying Number(s): N/A

7. System Name (Align with system Item name): Audits Tracking and Reporting System (ATARS)

9. System Point of Contact (POC). The System POC is the person to whom questions about the system and the responses to this PIA may be addressed: Johnny Wen

10. Provide an overview of the system: CMS Agency wide budget execution system used by Executive Officers and staff to manage and track administrative funds

13. Indicate if the system is new or an existing one being modified: Existing

17. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system? (Note: This question seeks to identify any, and all, personal information associated with the system. This includes any PII, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation. Does/Will the system collect, maintain (store), disseminate and/or pass through PII within any database(s), record(s), file(s) or website(s) hosted by this system?):
No

21. Is the system subject to the Privacy Act? (If response to Q.19 is Yes, response to Q.21 must be Yes and a SORN number is required for Q.4): No

23. If the system shares or discloses IIF please specify with whom and for what purpose(s):
N/A

30. Please describe in detail: (1) the information the agency will collect, maintain, or disseminate; (2) why and for what purpose the agency will use the information; (3) in this description, explicitly indicate whether the information contains PII; and (4) whether submission of personal information is voluntary or mandatory: (1) The information the agency will collect, maintain, or disseminate (clearly state if the information contained in the system ONLY represents federal contact data); (2) Why and for what purpose the agency will

use the information; (3) Explicitly indicate whether the information contains PII; and (4) Whether submission of personal information is voluntary or mandatory: ATARS maintains information about OIG and GAO audits such as responsible component, recommendations, monies to be collected, action taken, and completion dates. This information does not contain any PII.

31. Please describe in detail any processes in place to: (1) notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) notify and obtain consent from individuals regarding what PII is being collected from them; and (3) how the information will be used or shared.

(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.] (1) Notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection); (2) Notify and obtain consent from individuals regarding what PII is being collected from them; and (3) How the information will be used or shared. **(Note: Please describe in what format individuals will be given notice of consent [e.g., written notice, electronic notice, etc.]** IF data is supplied by Health and Human Services (HHS). ATARS does not have any PII.

32. Does the system host a website? (Note: If the system hosts a website, the Website Hosting Practices section is required to be completed regardless of the presence of PII): No

37. Does the website have any information or pages directed at children under the age of thirteen?:

50. Are there policies or guidelines in place with regard to the retention and destruction of PII? (Refer to the C&A package and/or the Records Retention and Destruction section in SORN):

54. Briefly describe in detail how the IIF will be secured on the system using administrative, technical, and physical controls.: There is no PII in ATARS.

PIA Approval

PIA Reviewer Approval: Promote

PIA Reviewer Name: William Saunders

Sr. Official for Privacy Approval: Promote

Sr. Official for Privacy Name: Karen Trudel

Sign-off Date: 6/30/2011

Approved for Web Publishing: Yes

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