April 18, 2017

WDVA Bulletin No. 1053

TO: County Veterans Service Officers
    Tribal Veterans Service Officers

SUBJECT: WDVA/CVSO/TVSO VBATS Access and Data Sharing Agreement

In the pursuit of enhancing the Wisconsin Department of Veterans Affairs' (WDVA) valued partnerships with the Wisconsin County Veterans Service Officers (CVSOs) and the Tribal Veterans Service Officers (TVSOs), we are pleased to announce the attached Veterans Benefits Application Tracking System (VBATS) Access and Data Sharing Agreement (Agreement) for each CVSO and TVSO office. The Agreement recognizes that CVSOs and TVSOs are professional veterans advocates and constitute a critical partner with WDVA. WDVA and the Wisconsin County Veterans Service Officer Association of Wisconsin (CVSOA-WI), with input from the Wisconsin Counties Association (WCA), have all worked in partnership towards this final version of the Agreement.

The purpose of this Agreement is two-fold: (1) to allow Wisconsin CVSOs and TVSOs access to the WDVA VBATS database without restriction and remove the requirement for release forms signed by the veteran, dependents, survivors, or duly authorized representatives (excluding current and former WDVA staff); and (2) to protect the confidentiality, integrity, and availability of information created, processed, stored, aggregated, and transmitted by the Disclosing Party.

The development of this Agreement is first the result of WDVA’s renewed commitment to our partnership and the need to cooperate and provide the greatest possible access to CVSOs and TVSOs. The privacy and security aspect of this agreement stems from an investigation in 2015 by the Federal Office of Inspector General (OIG) regarding unauthorized disclosure of confidential veteran information at the claims office. WDVA reported to OIG that all necessary steps would be taken to protect the privacy of veteran information maintained in our Department and shared with outside agency.

CVSOs and TVSOs access under this Agreement will allow the following:

1. Statewide access to VBATS records.
3. View VBATS Veteran records without a Request for Release of Records (Form 1042), except for WDVA former/current employee VBATS record.
4. Elimination of the annual requirement to submit a VBATS Account Authorization Request Form to maintain access to VBATS. Note: An initial WDVA Form 2419 will still be required for Officers who have not submitted one to date; and, additionally, for new employees of an office when there is a change in staff. If there is a current WDVA Form 2419 on file for the Officer,
the office does not need to provide a new form with the signed VBATS Access and Data Sharing Agreement.

5. Access to Recently Separated Veterans contact information/report in VBATS.
7. Access to reports on a statewide basis.
8. Ensured mutual safeguards and security of the confidentiality of Veteran Personal Records.

CVSOs and TVSOs will have until **Friday, June 30, 2017** to return a signed copy of this Agreement to James Bond at the e-mail address or mailing address below.

Only one Agreement is required from each CVSO or TVSO office.

Due to system design and limitations, there are only two options to VBATS access: (1) unrestricted access as outlined above or; (2) no access. If a CVSO or TVSO office is unable to return a signed Agreement within the time limit, access to VBATS will be terminated at that time. However, upon receipt of a signed Agreement, that CVSO or TVSO office will be granted access. This process will allow WDVA to comply with the OIG report.

Again, we are pleased to announce this Agreement and appreciate the hard work of the CVSOA-WI and WCA in working with us to make this happen. If you have any questions, please contact James Bond at (608) 2778 or james.bond@dva.wisconsin.gov.
THIS AGREEMENT for Release of Confidential Veterans’ information, made this ____ day of ____________ (month), ______ (year), between state of Wisconsin, Department of Veterans Affairs, (hereinafter “WDVA” or “Disclosing Party”), and ____________________________________________________(hereinafter "Receiving Party").

Background

1. WDVA is a state agency created under the provisions of Chapter 45, Wisconsin Statutes, whose mission is to give health, educational, and economic assistance to Veterans and their dependents who are residents of this state; and

2. WDVA is the recipient of United States Department of Defense service records and other information provided by the U.S. Department of Veterans Affairs (hereinafter referred to as “VA”) which are considered to be confidential pursuant to Title 38 United States Code and Wis. Stat. § 45.04(3); and

3. The Receiving Party is a Wisconsin County or Tribal Veterans Service Office authorized to receive confidential information pursuant to Wis. Stat. § 45.04, and the Wisconsin Administrative Code, § VA 1.10; and

4. The Receiving Party has demonstrated the need to receive Veterans’ confidential information in order for Receiving Party to continue to provide information and services related to Veterans’ benefits; and

5. The intent of this Agreement is twofold: (1) to allow the Receiving Party access to the WDVA Veterans Benefit Application Tracking System (VBATS) database without restriction and remove the requirement for release forms signed by the Veteran, dependents, survivors, or duly authorized representatives (excepting current and former WDVA staff); and (2) to protect the confidentiality, integrity, and availability of information created, processed, stored, aggregated, and transmitted by the Disclosing Party; and

6. The Disclosing Party and Receiving Party wish to discuss and exchange information related to benefits for Veterans and their dependents, which the parties hereto and applicable regulatory bodies as part of their joint missions and partnership in serving Veterans, consider highly confidential, while at the same time ensuring full compliance with applicable state and privacy laws; and

7. Receiving Party's access under this Memorandum and other benefits include:
   A. Statewide access to VBATS records.
   B. Ability to “add,” “edit,” and “upload documents” in VBATS without WDVA verification.
   C. View VBATS Veteran records without a Request for Release of Records (Form 1042), except for WDVA former/current employee VBATS records.
   D. Elimination of the annual requirement to submit a VBATS Account Authorization Request Form to maintain access to VBATS.
   E. Access to Recently Separated Veterans contact information/report in VBATS.
   F. Access to the Department of Defense Personnel Records Retrieval System (DPRIS) for DD214 information (with DoD approval).
   G. Access to the following reports on a statewide basis:
      1. Death Report by County or Cemetery Report;
      2. Grave Registration Activity Report;
      3. County Benefits Report; and

Therefore the parties hereto, intending to be legally bound in consideration of the mutual covenants and Agreements set forth herein, hereby agree as follows:

I. Definitions.

A. "Veteran" shall mean an individual that meets the definitions contained in Wis. Stat. §§ 45.001, 45.01(12), 45.02, 45.43(1), 45.51 (2)(a)1, and 45.51(2)(a)2, 45.61(2).

B. "Confidential, Sensitive and/or Protected Information (collectively hereinafter referred to as 'PI')" shall include all forms of personally or individually identifiable information, personally identifiable health information, sensitive information, information whose improper use or disclosure could adversely affect the ability of an agency
to accomplish its mission, proprietary information, and records about individuals requiring protection, and all information related to the Veteran provided by Disclosing Party to Receiving Party as further defined by VA DIRECTIVES 6509, Provision 5 and VA Handbook 6500, and successor directives and handbooks pertaining to these definitions published by the U.S. Department of Veterans Affairs. PI shall also mean all information provided by Disclosing Party with respect to the Veteran regardless of whether it is written, oral, contained on various storage media, or human or machine-readable documents.

C. "Data Breach" shall mean the loss, theft, or any other unauthorized access, other than that incidental to the scope of employment, to data containing PI in electronic or printed form which results in the compromise of the confidentiality or integrity of the data.

D. "Maintain" shall mean to collect, create, use, process, store, disseminate, transmit, or dispose of PI.

II. Legal Obligation to Safeguard Veteran Data. Each party is individually responsible for determining which laws apply to their respective organizations, and for ensuring compliance. A non-exhaustive list of current laws which apply to the type of data provided by WDVA under this Agreement; including the following:

A. Provisions of law directly related to VA Claims:

1. 38 U.S.C. § 5701 Confidential Nature of Claims (USDVA claims confidentiality):
   a. Provides for the confidentiality of all VA patient claimant information, with special protection for their names and home addresses.
   b. Provides for the same for information about their dependents.
   c. Prohibits disclosure of these names and addresses except as authorized by the statute.
   d. Does not apply to employee information.

2. VHA Handbook 1605.1, Privacy and Release of Information, establishes guidance on privacy use and disclosure of PI. This handbook (link below) provides guidance as to the legal obligations relative to federal law, applicable to the Claims Staff: http://www1.va.gov/vhapublications/ViewPublication.asp?pub_ID=1423.

B. Veterans’ personal data may also be protected by the following provisions of law. All parties must follow appropriate procedures to safeguard the privacy of Veterans’ personal data.

1. State Law:
   a. Wis. Stats. § 19.80(3)(a);
   b. Wis. Stats. § 45.04;
   c. Wis. Stats. § 106.01;
   d. Wis. Stats. § 134.97;
   e. Wis. Admin. Code § 296.01; and

2. Federal Law and Guidance:
   a. 38 CFR § 1.500;
   b. 38 U.S.C. § 7332;
   c. 38 CFR. §§ 14.626-14.637;
   d. 38 C.F.R. §§ 75.111-119;
   e. 38 U.S.C. § 5721 et seq.;
   f. 38 U.S.C. § 3672;
   g. Privacy Act of 1974, 5 U.S.C. § 552a;
consultation with corporation counsel, Office of Management and Budget (OMB) Memorandum 07-16, Safeguarding Against and Responding to the Breach of Personally Identifiable Information;
i. VA Directive and Handbook 0710, Personnel Suitability and Security Program;
l. VA Handbook 6500.2, Management of Breaches Involving Sensitive Personal Information;
m. VA Directive 6502, VA Enterprise Privacy Program;
n. VA Handbook 6502.1, Privacy Violation Tracking System (PVTS), the Formal Event Reporting and Evaluation Tool (FERET) guidebook;
o. VHA Directive 1605, VHA Privacy Program;
p. VHA Handbook 1605.1, Privacy and Release of Information;
q. VHA Handbook 1605.02, Minimum Necessary Standard for Protected Health Information; and

III. Use of PI.

A. The parties agree:

1. **Privacy Right.** The privacy of PI shall be protected in all functions, services, and facilities.

2. **VBATS Account Authorization.**
   
a. To gain access and to login to the VBATS, the Receiving Party must submit a VBATS Account Authorization Request (WDVA Form 2419) to WDVA for each county employee seeking access to ensure that access is authorized to utilize the VBATS for WDVA programs and benefits. Completed forms can be emailed to WDVA at eligibility@dva.wisconsin.gov. The WDVA Form 2419 must be received and approved by WDVA before VBATS access or login is granted to the Receiving Party.

   b. The corporation counsel of Receiving Party shall notify WDVA upon his or her notice that an authorized user will terminate employment via email to eligibility@dva.wisconsin.gov. This is to ensure privacy and security by disabling user access to only authorized employees of Receiving Party.

   c. Access to VBATS records of former or current WDVA employees requires a signed Confidential Release of Information Form (WDVA 1045) from said employee granting access on file at WDVA.

3. **Annual Review.** Each party shall annually review applicable privacy and security safeguards that are in place to protect PI. PI shall be maintained in a manner that will ensure legal compliance with federal and state statute, laws, rules and guidelines as determined appropriate by each party in consultation with each party's respective legal counsel.

4. **PI will be kept confidential.** In accordance with 5 U.S.C. 552a, 38 U.S.C. §§ 5701, 5705, and 7332, and other applicable federal privacy laws and regulations, as appropriate, parties shall ensure that all PI that is maintained in any medium, is kept confidential, except when disclosure is permitted or compelled under law.

5. **PI will be properly controlled.** All PI in the custody and control of each party shall be used and disclosed only as permitted or required by law.

6. **Contractor-controlled PI will be properly maintained.** Parties shall ensure that all contracts in which any data containing WDVA-owned PI or Veteran PI that is maintained by contractors will contain the appropriate clauses as may be required by law.

7. **Data will be protected.** The physical input and output products of WDVA information and systems that contain PI, such as disks, paper, flash drives or any other data storage devices, shall be protected against misuse and unauthorized access, unauthorized disruption, unauthorized disclosure, or unauthorized modification or destruction. No technology utilized to collect, use, or disclose PI shall erode privacy protections afforded by applicable state or federal law or WDVA policy.
8. **PI will be kept secure.** Security plans shall be continually developed and security controls implemented on all networks and filing systems that maintain PI in any form. These controls shall be implemented, as required by applicable law or policy, to, among other things, protect the security and privacy of all operating or filing systems used to access or store PHI, application software used to access or store PHI, and data in WDVA information systems. The purpose of these plans is to prevent the accidental or malicious disclosure, alteration or destruction of PI, and to provide assurances to the user of the quality, integrity, and confidentiality of such information maintained by the parties. Technologies used to maintain this information should allow for continuous auditing of compliance with this Agreement.

   a. **Privacy and data breaches shall be reported.** Parties shall report all breaches by their personnel, contractors, and authorized users involving PI in a timely and complete manner, as required by applicable law to the WDVA Privacy Officer within (five) 5 business days of discovery. The party at fault shall resolve all such breaches with privacy implications in a timely fashion in accordance with applicable law and policy. For further guidance, see VA Handbook 6502.1, Privacy Violation Tracking System (PVTS), the Formal Event Reporting and Evaluation Tool (FERET) guidebook, and VA Handbook 6500.2, Management of Breaches Involving Sensitive Personal Information.

   b. **A data breach process shall be sustained.** Each Party shall maintain a process for the tracking and reporting of suspected or actual breaches involving PI in compliance with the references above.

9. **Training.** The WDVA Privacy/Security Officer shall be available to provide privacy awareness training to Receiving Party on reasonable notice and accommodation of schedules.

B. **Rules for Electronic Communications:**

1. Parties acknowledge email messages sent by or to their offices may be read by someone other than the person to whom they are sent and may have to be disclosed to outside parties or in court in connection with a lawsuit. Accordingly, each party must take care to ensure that their messages are courteous, professional, and that the tone and words they use would not cause embarrassment to themselves or their organization if the message were made public.

   a. Any email sent outside each party’s network or information system should be considered non-secure.

   b. Email is subject to applicable privacy, security, and records retention laws and guidelines for the information that particular message contains. As such, email records must be appropriately secured and retained.

2. Each party is responsible for the content of all text, audio or images that they place or send on the state’s email, or Internet systems.

3. No party may email PI unless using approved methods.

4. All emails between parties that contain or transmit PI must be encrypted before transmission.

C. **Internal Security Controls with Communications to CVSOs/TVSOs:**

1. **Release of Veteran-Claimant Information.** In alignment with USDVA procedures, the WDVA Bureau of Claims will only release PI to those CVSO/TVSO and CVSO/TVSO staff who are officially "accredited" for USDVA purposes. If a CVSO office does not have an accredited representative, the WDVA Claims Officer will not discuss or provide any information specific to a pending claim unless authorized by the claimant during that specific communication. If the claimant is present in the CVSO/TVSO office at the initiation of such contact, the WDVA Claims Officer can speak directly to the claimant (after proper verification of identity using established USDVA protocol) to gain such authorization.

2. **Fax Messages.** The parties will accept fax messages; however, neither party shall fax PI to unauthorized third parties without the written consent of the Veteran or the Veteran's duly appointed representative.

3. **Encrypted Messages Other than VA.** Parties to this Agreement when communicating with the WDVA Claims office must register for an email account through VA.Gov and utilize VA.Gov access and Personal
Identification Verification Cards (PIV Cards) to ensure data security to accomplish any communication of PI
with the WDVA Claims Office.

4. **Release of Veteran-PI by WDVA.** The WDVA Divisions of Veteran Benefits, Services and Homes, will only
release information by U.S. Mail, telephone or encrypted emails.

**IV. Non-Assignble.** This Agreement shall be non-assignable.

**V. Governing Law.** This Agreement and all questions relating to its validity, interpretation, performance and enforcement
(including, without limitation, provisions concerning limitations of actions), shall be governed by and construed in
accordance with the laws of the state of Wisconsin.

**VI. Binding Nature of Agreement and Term.** This Agreement shall be binding upon and inure to the benefit of the parties and their respective successors and assigns, with a term of five (5) years from the date of the last signature below.

In the event of substantial changes in the applicable law(s), parties may amend this Agreement or enter into a new Agreement to ensure compliance. In the event of a WDVA transition to a replacement of the VBATS tracking system, this Agreement shall continue to be binding and in effect for the replacement system(s) until such time as a new Agreement or amendment hereto shall be drafted between the parties. Receiving party represents that he or she has authority to bind the County or Tribal Authority to this Agreement, and that the Executive head of the County or Tribal entity of the Receiving Party has approved this Agreement for execution.

**VII. Umbrella Provision.** This Agreement constitutes an umbrella agreement to the recipient's office, so long as any
person accessing data who is accredited by the United States Department of Veterans Affairs, possesses a PIV Card, and is authorized by the Receiving Party to do so.

**VIII. Entire Agreement.** This Agreement sets forth all of the covenants, promises, Agreements, conditions and
understandings between the parties and there are no covenants, promises, Agreements or conditions, either oral or written, between them other than herein set forth. No subsequent alteration, amendment, change or addition to this Agreement shall be binding upon either party unless reduced in writing and signed by them.

IN WITNESS OF THEIR AGREEMENT, the parties have set their hands to it below effective the day and year first written above.

**DISCLOSING PARTY**

**WDVA SECRETARY**

Signature: ____________________________

Print Name: Daniel J. Zimmerman

Date: ____________________________

**RECEIVING PARTY**

**COUNTY/TRIBAL VETERAN SERVICE OFFICER**

Signature: ____________________________

Print Name: ____________________________

County: ____________________________

Date: ____________________________

**APPROVED IN FORM BY CORPORATION COUNSEL**

Signature: ____________________________

Print Name: ____________________________

Date: ____________________________