Acronyms
ATO - Authorization to Operate
CAC - Common Access Card
FISMA - Federal Information Security Management Act
ISA - Information Sharing Agreement
HHS - Department of Health and Human Services
MOU - Memorandum of Understanding
NARA - National Archives and Record Administration
OMB - Office of Management and Budget
PIA - Privacy Impact Assessment
PII - Personally Identifiable Information
POC - Point of Contact
PTA - Privacy Threshold Assessment
SORN - System of Records Notice
SSN - Social Security Number
URL - Uniform Resource Locator

General Information

Status:	Approved	**PIA ID:**	1373417
PIA Name:	HRSA - SP - QTR3 - 2021 - HRSA747310	**Title:**	HRSA - Microsoft SharePoint
OpDIV:	HRSA		

PTA

PTA - 1A:	Identify the Enterprise Performance Lifecycle Phase of the system	Operations and Maintenance
PTA - 1B:	Is this a FISMA-Reportable system?	Yes
PTA - 2:	Does the system include a website or online application?	No
PTA - 3:	Is the system or electronic collection, agency or contractor operated?	Agency
PTA - 3A:	Is the data contained in the system owned by the agency or contractor?	Agency
PTA - 5:	Does the system have or is it covered by a Security Authorization to Operate (ATO)?	Yes
PTA - 5A:	If yes, Date of Authorization	9/5/2019
PTA - 6:	Indicate the following reason(s) for this PTA. Choose from the following options.	PIA Validation (PIA Refresh)
PTA - 7:	Describe in further detail any changes to the system that have occurred since the last PIA	There have been no major changes since the last PTA/PIA.
PTA - 8:	Please give a brief overview and purpose of the system by describing what the functions of the system are and how the system carries out those functions?	SharePoint provides enterprise-wide collaboration and content management by allowing users to store, manage and more quickly access

		information; and reduce cost through the elimination of stand-alone applications and manual processes. SharePoint has become the enterprise system for internal team collaboration at HRSA. The objective of SharePoint is to increase staff productivity by automating business processes, enhancing reporting and dashboard capabilities, redesigning team and intranet sites improving navigation, improving the enterprise search capabilities through the use of metadata, supporting portfolio/program/project management, exploring records management capabilities and sharing data with other systems
PTA - 9:	List and/or describe all the types of information that are collected (into), maintained, and/or shared in the system regardless of whether that information is PII and how long that information is stored.	HRSA SharePoint serves as a repository for standard file types and content such as Microsoft Word, Excel, PowerPoint, and Portable Document Format (PDF) files. Within these files, the information contains both sensitive and non-sensitive data elements used to conduct HRSA business. Business components and units within HRSA may use name, email, phone, SSN, taxpayer ID, Passport number and financial information to cross reference and index data for quick reference to documents to support internal business processes. HRSA SharePoint is the HRSA-configured version of SharePoint and acts as a collaborative cross-agency platform where each business component has its own site and data/content specific to its business processes. Access is granted to SharePoint collaboration sites by use of internal SharePoint permissions and groups. These groups are managed by business component site owners to HRSA employees and director contractors who have HRSA issued PIV cards, as well as other HHS agency users who have AMS accounts.
PTA -9A:	Are user credentials used to access the system?	Yes
PTA - 9B:	Please identify the type of user credentials used to access the system.	HHS User Credentials HHS/OpDiv PIV Card
PTA - 10:	Describe why all types of information is collected (into), maintained, and/or shared with another system. This description should specify what information is collected about each category of individual	SharePoint is a Commercial off the Shelf (COTS) web-based Microsoft application. HRSA SharePoint is the HRSA-configured version of SharePoint and operates on the HRSA Intranet and is not external facing. It may contain both controlled sensitive information or work sensitive information.
PTA - 10A:	Are records in the system retrieved by one or more PII data elements?	No
PTA - 11:	Does the system collect, maintain, use or share PII?	Yes
PIA		
PIA - 1:	Indicate the type of PII that the system will collect or maintain	Social Security Number Name Mother's Maiden Name E-Mail Address

		Phone numbers
		Taxpayer ID
		Financial Account Info
		Passport Number
PIA - 2:	Indicate the categories of individuals about whom PII is collected, maintained or shared	Employees/ HHS Direct Contractors
		Public Citizens
		Vendors/Suppliers/Third-Party Contractors (Contractors other than HHS Direct Contractors)
PIA - 3:	Indicate the approximate number of individuals whose PII is maintained in the system	Above 2000
PIA - 4:	For what primary purpose is the PII used?	Personally Identifiable Information (PII) is used to manage and index lists, libraries and content for quick access and retrieval by business owners and system users.
PIA - 5:	Describe any secondary uses for which the PII will be used (e.g. testing, training or research)	There are no secondary uses of PII.
PIA - 6:	Describe the function of the SSN/Taxpayer ID.	Social Security Numbers (SSN) may be present within files hosted on the HRSA SharePoint application. The SharePoint application itself does not require SSN for other reasons.
PIA - 6A:	Cite the legal authority to use the SSN	Legal authorities vary depending on program/bureau needs.
PIA - 7:	Identify legal authorities, governing information use and disclosure specific to the system and program	Departmental Regulation 5 USC 301
PIA - 9:	Identify the sources of PII in the system	Government Sources Within the OPDIV Non-Government Sources Members of the Public Commercial Data Broker
PIA - 9A:	Identify the OMB information collection approval number or explain why it is not applicable.	Approval number and expiration dates vary depending on program/bureau needs.
PIA - 10:	Is the PII shared with other organizations outside the system's Operating Division?	No
PIA - 11:	Describe the process in place to notify individuals that their personal information will be collected. If no prior notice is given, explain the reason	Notification of individuals of their personal information will be conducted at the program/bureau level. SharePoint does not conduct notification activities.
PIA - 12:	Is the submission of PII by individuals voluntary or mandatory?	Voluntary
PIA - 13:	Describe the method for individuals to opt-out of the collection or use of their PII. If there is no option to object to the information collection, provide a reason	There is no option for HRSA SharePoint users to not enter their PII. They can choose not to enter their name, email, phone, SSN, taxpayer ID, passport number and/or financial information, however, their business functions may not be met.
PIA - 14:	Describe the process to 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	All HRSA employees and direct contractors consent to HRSA policies regarding appropriate use of HRSA technology and the use of

	since the notice at the time of original collection). Alternatively, describe why they cannot be notified or have their consent obtained	employee and contractor credentials to use applications. No further PII is stored in SharePoint and therefore the process to give notice and obtain consent is not applicable.
PIA - 15:	Describe the process in place to resolve an individual's concerns when they believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate. If no process exists, explain why not	Standard HRSA Incident handling Procedures are used if PII has been inappropriately obtained, used, discussed, or disclosed. If it is inaccurate, the business component or unit within HRSA is responsible for editing, correcting, and monitoring it.
PIA - 16:	Describe the process in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy and relevancy. Please address each element in your response. If no processes are in place, explain why not	HRSA SharePoint uses the Data Loss Prevention (DLP) functionality in SharePoint 2019 to discover any PII within the system. A custom script has been created and is used to identify any Open Access Sensitive Information and to notify users once identified.
PIA - 17:	Identify who will have access to the PII in the system and the reason why they require access	Users Administrators Contractors
PIA - 17A:	Provide the reason of access for each of the groups identified in PIA -17 Users require access to enter and edit data to support HRSA business needs, processes, and requirements. Administrators require access to create new lists, sites, sub-sites, folders, to support business unit requirements. Contractors require access to create new lists, sites, sub-sites, folders, to support unit requirements.	
PIA - 17B:	Select the type of contractor	HHS/OpDiv Direct Contractor
PIA - 18:	Describe the administrative procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII	Access is granted to SharePoint collaboration sites by use of internal SharePoint permissions and groups. These groups are managed by business component Microsoft Access Managers and Site Administrators.
PIA - 19:	Describe the technical methods in place to allow those with access to PII to only access the minimum amount of information necessary to perform their job	The permission is restricted at the minimum level for system users to access PII data.
PIA - 20:	Identify training and awareness provided to personnel (system owners, managers, operators, contractors and/or program managers) using the system to make them aware of their responsibilities for protecting the information being collected and maintained	In addition to the annual Information Security & Privacy training, HRSA provides the following SharePoint training sessions: (a) Basic – Intro to SharePoint (b) Working with documents and lists (c) Advanced Library and List Management (d) Managing Content (e) Permissions
PIA - 21:	Describe training system users receive (above and beyond general security and privacy awareness training).	SharePoint permissions training // SharePoint Library and List Management Training
PIA - 23:	Describe the process and guidelines in place with regard to the retention and destruction of PII. Cite specific NARA records retention schedule(s) and include the retention period(s)	The National Archive and Records Administration (NARA) General Records Schedule DAAGRS-2013-0006-0003 is used stating to

			"Destroy 1 year(s) after user account is terminated or password is altered or when no longer needed for investigative or security purposes, whichever is appropriate.
PIA - 24:	Describe how the PII will be secured in the system using administrative, technical, and physical controls. Please address each element in your response		Some PII and Sensitive Information (SI) may be stored on SharePoint team sites as long as the permissions are properly maintained to limit access to only the individuals who require access to it.

Sites open for all of HRSA to access or collaborate may not contain PII or SI.

The site owners where the PII information is stored will grant the user access on a need-to-know basis. Generally, there are three SharePoint user groups for each site: site owners who control the site content as well as the content access, site contributors who control site content, and site reader can only read the content.

SharePoint administrators use the Data Loss Prevention (DLP) functionality in SharePoint 2019 to monitor the access of sites which contain PII. |