



Controlled Document Tracker (CDT)

Privacy Impact Assessment (PIA)

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POINT *of* CONTACT

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Instructions for GSA employees and contractors:

This template is designed to help GSA employees and contractors comply with the E-Government Act of 2002, Section 208. GSA conducts privacy impact assessments (PIAs) for electronic information systems and collections in accordance with CIO 1878.3 Developing and Maintaining Privacy Threshold Assessments, Privacy Impact Assessments, Privacy Act Notices, and System of Records Notices. The template is designed to align with GSA business processes and can cover all of the systems, applications, or projects logically necessary to conduct that business.

The document is designed to guide GSA Program Managers, System Owners, System Managers, and Developers as they assess potential privacy risks during the early stages of development and throughout the system, application, or project's life cycle.

The completed PIA shows how GSA builds privacy protections into technology from the start. Completed PIAs are available to the public at gsa.gov/pia.

Each section of the template begins with a statement of GSA's commitment to the Fair Information Practice Principles (FIPPs), a set of eight precepts that are codified in the Privacy Act of 1974.

Please complete all sections in italicized brackets and then delete the bracketed guidance, leaving only your response. Please note the instructions, signatory page, and document revision history table will be removed prior to posting the final PIA to GSA's website. **Please send any completed PIAs or questions to gsa.privacyact@gsa.gov.**

Stakeholders

Name of Information System Security Manager (ISSM):

- Matthew Regan

Name of Program Manager/System Owner:

- Theresa Ottery

Signature Page

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Chief Privacy Officer (CPO) - Under the direction of the Senior Agency Official for Privacy (SAOP), the CPO is responsible for evaluating the PIA and ensuring the program manager/system owner has provided complete privacy-related information.

Document Revision History

Date	Description	Version of Template
01/01/2018	Initial Draft of PIA Update	1.0
04/23/2018	Added questions about third-party services and robotics process automation (RPA)	2.0
6/26/2018	New question added to Section 1 regarding Information Collection Requests	2.1
8/29/2018	Updated prompts for questions 1.3, 2.1 and 3.4.	2.2
11/5/2018	Removed Richard's email address	2.3
11/28/2018	Added stakeholders to streamline signature process and specified that completed PIAs should be sent to gsa.privacyact@gsa.gov	2.4
4/15/2019	Updated text to include collection, maintenance or dissemination of PII in accordance with e-Gov Act (44 U.S.C. § 208)	2.5
9/18/2019	Streamlined question set	3.0

Table of contents

SECTION 1.0 PURPOSE OF COLLECTION

- 1.1 What legal authority and/or agreements allow GSA to collect, maintain, use, or disseminate the information?
- 1.2 Is the information searchable by a personal identifier, for example a name or Social Security number? If so, what Privacy Act System of Records Notice(s) applies to the information being collected?
- 1.3 Has an information collection request (ICR) been submitted to or approved by the Office of Management and Budget (OMB)? If yes, provide the relevant names, OMB control numbers and expiration dates.
- 1.4 What is the records retention schedule for the information system(s)? Explain how long and for what reason the information is kept.

SECTION 2.0 OPENNESS AND TRANSPARENCY

- 2.1 Will individuals be given notice before to the collection, maintenance, use or dissemination and/or sharing of personal information about them? If not, please explain.

SECTION 3.0 DATA MINIMIZATION

- 3.1 Why is the collection and use of the PII necessary to the project or system?
- 3.2 Will the system create or aggregate new data about the individual? If so, how will this data be maintained and used?
- 3.3 What controls exist to protect the consolidated data and prevent unauthorized access?
- 3.4 Will the system monitor members of the public, GSA employees, or contractors?
- 3.5 What kinds of report(s) can be produced on individuals?
- 3.6 Will the data included in any report(s) be de-identified? If so, how will GSA aggregate or de-identify the data?

SECTION 4.0 LIMITS ON USES AND SHARING OF INFORMATION

- 4.1 Is the information in the system, application, or project limited to only the information that is needed to carry out the purpose of the collection, maintenance, use, or dissemination?
- 4.2 Will GSA share any of the information with other individuals, Federal and/or state agencies, or private sector organizations? If so, how will GSA share the information?
- 4.3 Is the information collected directly from the individual or is it taken from another source? If so, what is the other source(s)?
- 4.4 Will the system, application, or project interact with other systems, either within GSA or outside of GSA? If so, what other system(s), application(s) or project(s)? If so, how? If so, is a formal agreement(s) in place?

SECTION 5.0 DATA QUALITY AND INTEGRITY

- 5.1 How will GSA verify the information collection, maintenance, use, or dissemination for accuracy and completeness?

SECTION 6.0 SECURITY

6.1 Who or what will have access to the data in the project? What is the authorization process for access to the project?

6.2 Has GSA completed a system security plan (SSP) for the information system(s) supporting the project?

6.3 How will the system be secured from a physical, technical, and managerial perspective?

6.4 Are there mechanisms in place to identify and respond to suspected or confirmed security incidents and breaches of PII? If so, what are they?

SECTION 7.0 INDIVIDUAL PARTICIPATION

7.1 What opportunities do individuals have to consent or decline to provide information? Can they opt-in or opt-out? If there are no opportunities to consent, decline, opt in, or opt out, please explain.

7.2 What procedures allow individuals to access their information?

7.3 Can individuals amend information about themselves in the system? If so, how?

SECTION 8.0 AWARENESS AND TRAINING

8.1 Describe what privacy training is provided to users, either generally or specifically relevant to the project.

SECTION 9.0 ACCOUNTABILITY AND AUDITING

9.1 How does the system owner ensure that the information is being used only according to the stated practices in this PIA?

Document purpose

This document contains important details about the Controlled Document Tracker (CDT), Salesforce minor application. To accomplish its mission *GSA Office of Administrative Services (OAS)* must, in the course of *Executive Secretariat Correspondence*, collect personally identifiable information (PII) about the people who use such products and services. PII is any information^[1] that can be used to distinguish or trace an individual's identity like a name, address, or place and date of birth.

GSA uses Privacy Impact Assessments (PIAs) to explain how it collects, maintains, disseminates, uses, secures, and destroys information in ways that protect privacy. This PIA comprises sections that reflect GSA's [privacy policy](#) and [program goals](#). The sections also align to the Fair Information Practice Principles (FIPPs), a set of eight precepts codified in the Privacy Act of 1974.^[2]

A. System, Application, or Project Name:

Enterprise Application Services (EAS), Employee Engagement Organization (EEO), Salesforce Minor Application: **Controlled Document Tracker (CDT)**

B. System, application, or project includes information about:

CDT includes information about Controlled Documents. Controlled Documents include official agency correspondence to Members of Congress, other governmental agencies, key stakeholders, and constituents. Controlled documents also include agency-initiated documents, including spend plans, prospectuses, orders, delegations of authority, internal policy, Instructional Letters, memorandums of agreement or understanding, and proposed regulatory changes. The various documents may reference members of the public, Federal, State, local, and foreign government officials, vendors, and contractors.

C. For the categories listed above, how many records are there for each?

There are a total of 43,000+- records in the system in its entirety. While some "may contain PII", the majority of those records only contains information on GSA associates, as such is not considered PII.

D. System, application, or project includes these data elements:

System information includes correspondences and documents and, in addition to work contact information, may also include the following specific types of data:

- Personal full name

- Personal physical address
- Personal phone number
- Personal email address
- Employer information and address, for example, for Federal employees or contractors regarding facility or employment concern
- Dun & Bradstreet and/or Tax ID numbers
- Names and email addresses (personal or work) may be stored in searchable data fields, but other data would be contained in documents attached to system records

Overview

The Controlled Document Tracker (CDT) is a workflow management system used by the General Services Administration (GSA) to manage, track, and record the timely drafting and approval of official agency correspondence to Members of Congress, Federal, state, local, tribal, and foreign government entities, key stakeholders, and constituents, GSA also uses CDT for the timely drafting, tracking, and approval of agency-initiated documents. Such documents would include but not be limited to spend plans, prospectuses, orders, delegations of authority, Instructional Letters, memorandums of agreement or understanding, and proposed regulatory changes. System workflows forward the documents to the appropriate offices and people in GSA for edits, commentary, and approval. CDT serves as an official system of record for GSA's Executive Secretariat ("Exec Sec") and other offices in the Central Office and the regions.

SECTION 1.0 PURPOSE OF COLLECTION

GSA states its purpose and legal authority before collecting PII.

1.1 What legal authority and/or agreements allow GSA to collect, maintain, use, or disseminate the information?

There are many legal authorities that allow or require GSA to track controlled documents and collect the PII they may contain, including but not limited to 5 U.S.C. 301 and 41 U.S.C. § 31.3101.

1.2 Is the information searchable by a personal identifier, for example a name or Social Security Number? If so, what System of Records Notice(s) apply/applies to the information?

Yes, SORN GSA/CIO-3, GSA Enterprise Organization of Google Applications and Salesforce.com applies to the information.

Controlled document records (CDR) are each given a unique identifier (U!). Those UIs are the first of three primary methods for searching the system. The second primary search tool is for GSA employee assigned to the CDR as the owner or assignee. The third primary search tool is by approver, which would also list only GSA employees.

CDRs also contain a searchable summary field that contains a description of the issue and, if a Member of Congress made the request, will include the name of that Senator or Representative. CDT policy and practice prohibits the inclusion of any other name, whether member of the public or agency employee, to be contained in that field.

Additionally, CDT documents, such as word docs and pdfs, may be titled with the last name of a Member of Congress. Salesforce permits searches of file names. As such, it is possible to create a listing of requests by Senator or Representative names.

1.3 Has an Information Collection Request (ICR) been submitted to or approved by the Office of Management and Budget (OMB)? If yes, provide the relevant names, OMB control numbers, and expiration dates.

No, OMB's ICR process is not applicable to GSA's CDT as it is not an information collection activity.

1.4 Has a records retention schedule been approved by the National Archives and Records Administration (NARA)? Explain how long and for what reason the information is retained.

Several records retention schedules will be applied to content stored in this application. The common retention instruction is to retain these documents for 15 fiscal years and then accession them to NARA as permanent records. The information is retained as a record of the final document, letter, directive, report, or matter on the issue for later reference and as a record of approval or consensus or agreement on behalf of GSA.

Decisions, Issuances, and Directives

Legal Citation: DAA-0269-2016-0006-0001 (269.11/010)

Description: This series covers decision papers, interpretation of laws and directives, and issuances issued by Heads of Staff and Services Offices and the Administrator's Office, and security directives issued under the Information Security Oversight Orders (ISOO).

Retention Instructions: Permanent. Cut off at the end of the fiscal year when issued. Transfer to NARA 15 years after cutoff.

Annual Significant Reports and Studies

Legal Citation: DAA-0269-2016-0006-0003 (269.11/020)

Description: This series includes documents created in reporting on management improvement goals, progress reports, and accomplishments for GSA internal and external Government-wide programs. Also included in this series are special studies conducted at the request of the Congress, the Office of Management and Budget (OMB), or the Office of Personnel Management (OMB), and the GSA Annual Report issued by the Administrator's Office and related records.

Retention Instructions: Permanent. Cut off at the end of the fiscal year that the report has been issued. Transfer to NARA 15 years after cutoff.

Strategic Evaluation and Planning Records

Legal Citation: DAA-0269-2016-0006-0006 (269.11/030)

Description: This series is concerned with all documents created in studying, proposing, reviewing, and assisting in changes in organization, function, and relationships of services, staff offices and regional offices. Included are organizational proposals, justifications, analyses of present and proposed arrangements, workloads, staffing patterns, current and proposed organization charts, functional statements, management studies, strategic plans, and related records. The files include disapproved proposals, comments on other organization studies, and records related to the changes to the GSA Organization.

Retention Instructions: Permanent. Cutoff 1 year at the end of the fiscal year when issued, Transfer to NARA 15 years after cutoff.

Significant Prepared Communications Records

Legal Citation: DAA-0269-2016-0007-0001 (269.12/010)

Description: Speeches and communications by Heads of Staff and Service Offices (HSSOs) as well as the Administrator's office, biographies of Administrator, Regional Administrators,

HSSOs, and Commissioners. Also included are record copies of GSA press releases; record copies of internal and external newsletters, and related records.

Retention Instructions: Permanent. Cut off at the end of the fiscal year when issued. Transfer to NARA 15 years after cutoff.

Legislative and Congressional Affairs Program Reports

Legal Citation: DAA-0269-2016-0008-0003(269.13/020)

Description: Documents created in preparing and disseminating information reflecting content and status of the GSA legislative program, including reports of general information on, or status of, the legislative program, correspondence, and related records.

Retention Instructions: Permanent. Cut off at the end of the fiscal year when the report is issued. Transfer to NARA 15 years after cutoff.

Semiannual Management Reports to the Congress

Legal Citation: DAA-0269-2016-0003-0001 (269.14/010)

Description: This series is comprised of regular reports made to external agencies (such as the Congress, etc.). This report describes, for that specific reporting period, (1) the implementation of the recommendations by GSA Management contained in audit reports issued by the Office of the Inspector General (OIG), and (2) a report of cases where final action has not been taken on an audit one year after the date of the management decision.

Retention Instructions: Permanent. Cut off at the end of the fiscal year after the report is issued. Transfer to NARA 15 years after cutoff.

SECTION 2.0 OPENNESS AND TRANSPARENCY

GSA is open and transparent. It notifies individuals of the PII it collects, maintains, uses or disseminates as well as how it protects and shares it. It provides straightforward ways for individuals to learn how GSA handles PII.

2.1 Will individuals be given notice before the collection, maintenance, use or dissemination of personal information about themselves? If not, please explain.

There is no collection of information but instead, information is voluntarily provided by the individual involved or provided to GSA on behalf of the individual from a Congressperson or the White House, by mail or email. Individuals supply the information they believe is needed to resolve their inquiry and permit follow-up contact by the Government. Referrals on behalf of the individual routinely contain signed privacy release forms. Especially sensitive information is reviewed and redacted or reviewed and sequestered from the system.

SECTION 3.0 DATA MINIMIZATION

GSA limits PII collection only to what is needed to accomplish the stated purpose for its collection. GSA keeps PII only as long as needed to fulfill that purpose.

3.1 Why is the collection and use of the PII necessary to the system, application, or project?

Contact information, such as name and address (email or other), are needed to resolve the inquiry and communicate with the individual who made the inquiry. GSA cannot provide an answer if the individual involved is unknown or there is no way to contact the individual who requested the answer.

3.2 Will the system, application, or project create or aggregate new data about the individual? If so, how will this data be maintained and used?

CDT does not aggregate or create new data about individuals that could be used to identify individuals. Each CDT package is managed separately. All access to CDT is granted via a request made by an Exec Sec Admin to the GSA IT Service desk (Service Now), which is then approved by the Salesforce minor application owner. Once approved, the user is then granted role-based access to the system by system administrators.

3.3 What protections exist to protect the consolidated data and prevent unauthorized access?

This control is implemented by the Salesforce Organization. Assigned authorizations for controlling access are enforced through Force.com Administration Setup Permission Sets & Public Groups.

- 1.) Practice least privilege permissions, where any user of the CDT Salesforce app will have only the minimum privileges necessary to perform their particular job function.
- 2.) Assign a designated application owner. That application owner will receive auto-generated emails from the GSA Helpdesk (ServiceNow) to review and either approve/reject or ask for additional clarification for any pending tickets regarding system modifications (including adding users to access the application); attend Security de-

briefs, to review and then digitally sign updated security packages as appropriate and outlined by their respective Security team; work with release managers to determine appropriate date/timing of deployment and any communication or training surrounding those changes.

3.4 Will the system monitor the public, GSA employees, or contractors?

No, the system does not monitor the public, employees or contractors.

3.5 What kinds of report(s) can be produced on individuals?

The only reports that can be produced on individuals are when the individuals are GSA employees or GSA contractors who are system users. Reports cannot be produced on individuals whose requests are being tracked in CDT, requestor name is not a data field.

3.6 Will the data included in any report(s) be de-identified? If so, what process(es) will be used to aggregate or de-identify the data?

Controlled Document Tracker reports do not contain data fields with PII, therefore, we will not be de-identifying any reports data.

SECTION 4.0 LIMITS ON USING AND SHARING INFORMATION

GSA publishes a notice about how it plans to use and share any PII it collects. GSA only shares PII in ways that are compatible with the notice or as stated in the Privacy Act.

4.1 Is the information in the system, application, or project limited to only the information that is needed to carry out the purpose of the collection?

Any PII is submitted voluntarily by the requestor, and not at the request of GSA. Therefore, any PII collected is deemed relevant to the request, by the requestor.

4.2 Will GSA share any of the information with other individuals, federal and/or state agencies, or private-sector organizations? If so, how will GSA share the information?

Yes. As part of sharing resolution of the inquiry with the entity that had made the request on behalf of the individual, GSA may occasionally need to share personal information (such as a name of business at which the individual is employed) to the original congressional or White House requester. In this situation, GSA would actually be sharing such information only with the entity that had originally provided it to GSA.

4.3 Is the information collected directly from the individual or is it taken from another source? If so, what is the other source(s)?

Information is being directly provided by the individuals or indirectly provided by parties acting on behalf of the individual and whom the individual had contacted. It is the responsibility of the individual to assure the data provided is correct.

4.4 Will the system, application, or project interact with other systems, applications, or projects, either within or outside of GSA? If so, who and how? Is a formal agreement(s) in place?

No, there are no internal or external connections to other systems.

SECTION 5.0 DATA QUALITY AND INTEGRITY

GSA makes reasonable efforts to ensure that all PII it maintains is accurate, relevant, timely, and complete.

5.1 How will the information collected, maintained, used, or disseminated be verified for accuracy and completeness?

The Program Manager and Application Owner are responsible for ensuring data is monitored for relevance and accuracy. In addition, the information is being directly provided by the individuals or indirectly provided by parties acting on behalf of the individual and whom the individual had contacted. It is the responsibility of the individual to assure the data provided is correct. When an inquiry cannot be resolved, Exec Sec personnel will contact the requester (the individual or the White House or congressional requester) to confirm the relevant search information is correct.

As long as there is sufficient information to respond effectively, there is sufficient data. When a response cannot be provided because of insufficient data, as noted above, steps are taken to obtain sufficient information to respond or to determine that no response can be made.

SECTION 6.0 SECURITY

GSA protects PII from loss, unauthorized access or use, destruction, modification, or unintended or inappropriate disclosure.

6.1 Who or what will have access to the data in the system, application, or project? What is the authorization process to gain access?

CDT users who have a designated responsibility and have been granted access to the application.

Salesforce administrative staff also have access to the system. All Salesforce System Administrators are required to have a GSA Short Name Account (SNA). The SNA is used to grant administrative access to workstations, servers, or sensitive applications. Salesforce System Administrators need administrative access to Salesforce orgs and minor applications in order to provide support to Salesforce users and their associated permissions, groups and sharing rules. Additionally, they require administrative access in order to effectively perform Salesforce deployments and data loads. Salesforce System Administrators are required to login with a SNA token to keep their administrative duties separated from their regular duties. System changes made by these users will be tracked by Created By & Modified By fields. Login activity to the ORG is reviewed by the ISSO, per GSA Policy, on a weekly basis. Additionally logs are downloaded and archived/reviewed on a monthly basis. Any unauthorized activity is reported to the Information System Security Manager (ISSM) and the GSA IT Service Desk upon.

All access is granted via a request made to the GSA IT Service desk (Service Now), which is then approved by the Salesforce minor application owner. Once approved, the user is then granted role-based access to the system by system administrators.

This application is hosted in the Employee Engagement Org (EEO) of Salesforce. All GSA employees and contractors who require access to this application must have either a Salesforce or Salesforce Platform license within EEO as well as one of the custom CDT Permission Sets in order to have access to this application.

System Admins receive view/modify all access. A small group of Exec Sec Admins, representing the system owner, view all/modify some for control and monitoring. All other users receive access to controlled document records one record at a time, to either approve or collaborate on the drafting and clearance. Access is shared with these users by one of the following: Exec Sec, the Record owner, or an approver or collaborator who has access to the record. However, they must already have access to the application via one of the aforementioned permission sets or processes.

Designated app owners have control over approving/denying user access requests (via ServiceNow).

Practice least privilege permissions, where any user of the CDT Salesforce app will have only the minimum privileges necessary to perform their particular job function.

Salesforce system administrators operating within the Salesforce EEO org are required to have Tier 2S clearance to be granted their designated SNA account/credential. All System Administrators are required to access the system with provided SNA credentials. Designated by

OPM, Tier 2S clearance is a moderate risk (formerly MBI Level 5B) required for Non-Sensitive Moderate Risk (Public Trust) positions.

Using the aforementioned Profiles & Permissions the application allows users across GSA to set up primary controlled document records, and manage the collaboration, approval, and concurrence processes needed for the primary record. The application leverages a custom Salesforce.com data object to store information about the primary records, leverage Salesforce.com sharing settings and criteria-based sharing rules to control visibility and access to the primary records, and utilize a Visualforce user interface to allow users to add approvers and designate different approval types from one centralized approval step screen.

Users' access to data is controlled by a combination of factors: alignment to an Exec Sec Admin Public Group, being owner or approver to a record, whether a record is manually shared with, etc. Manually in this context means that no one can see any documents unless they are in the process chain or given explicit access to a document. That assignment would be granted within the system and would be exclusive to internal GSA associates/contractors. The "users" in question are all GSA individuals as this is an internal use system. See the below paragraphs for detailed explanation on how this is restricted and controlled.

The primary data object, "Controlled Document", is set as private in the organization-wide default setting. This will also be set irrespective of the role hierarchy. This ensures that records are private between users and offices. Role hierarchy is not in consideration since role hierarchy in the GSA EEO is not set up or maintained with authoritative data. Since "approval step" is a detail object to "controlled document" in a master-detail relationship, these records will inherit the access level from the master object "controlled document". All Chatter feeds and files will also inherit the primary record's access level. There will be four permission sets (PS) for this application. One PS provides Create-Read-Edit (CRE) access to the majority of users. A second PS gives Exec Sec Users access to more fields than the office level users. The third PS will be used by the "ExecSec Admin" users, who will be allowed to delete records. The fourth permission set, "Controlled Document Tracker - OCIA - CRE", is used by OCIA users to access only Contract Award Notification functionality which does not include any PII and is publicly available information. All users will need the Salesforce Platform license at the minimum. Users who are on Salesforce license do not need to be downgraded. However users who are on Chatter Free license need to get upgraded to a Platform license and profile in order to have access to this application.

Per GSA Salesforce Technical Guideline, profiles "GSA System Administrator", and "GSA System User" will receive access to all objects and fields at the profile level. These administrative profiles also will have modify all/view all access to all records in this application.

This is an existing construct that will not be altered through this project. There are three criteria-based sharing rules that grant access to Exec Sec users via public groups (PG).

- One sharing rule grants access to Exec Sec USERS (PG: Controlled Document Tracker-Exec Sec User) when “allow Exec Sec Access” is selected.
- The second sharing rule grants access to Exec Sec ADMINS (PG: Controlled Document Tracker-Exec Sec Admin) when “allow Exec Sec Access” is selected.
- The third rule shares CDT records that contain C in the Document ID with the "Controlled Document Tracker-Exec Sec Admin" group with the exception of offices B and C.

Read/Write is granted in all sharing rules.

The application allows record owners to share records to other users on an ad-hoc basis with those people that have a business need to know. This is needed to meet access needs that fall outside of the sharing rules and Apex sharing criteria. This also provides maximum flexibility to record access control. The application shares records with users who are designated as approvers to the primary record. Approvers will receive read/write access to the primary record and related children/Chatter records.

Private records must be shared manually for anyone else to receive access.

6.2 Has GSA completed a System Security Plan (SSP) for the information system(s) or application?

Yes, Salesforce is an element in the Enterprise Application Services (EAS) SSP with an ATO expiration date of 08/31/2020.

6.3 How will the system or application be secured from a physical, technical, and managerial perspective?

As Salesforce is a cloud-based product, the minor application is protected by a multi-tiered security process. The cloud platform along with GSA’s implementation of security controls provides a robust security profile. The data is protected by multiple access controls to the data, including login controls, profiles within the application and permission sets in the program. Program management has authority to grant access to the application at all application levels. All higher level system support staff are granted access based upon need to know/requirement based needs.

6.4 Are there mechanisms in place to identify and respond to suspected or confirmed security incidents and breaches of PII? If so, what are they?

Intrusion systems at the agency level provide a layer of security monitoring. Access to the GSA ORG unit is reviewed on a weekly basis, application permission sets are annually reviewed by the application owner.

SECTION 7.0 INDIVIDUAL PARTICIPATION

GSA provides individuals the ability to access their PII and to correct or amend it if it is inaccurate. If GSA exempts a system or program from access, amendment and other provisions of the Privacy Act, it notifies the public of that exemption.

7.1 What opportunities do individuals have to consent or decline to provide information? Can they opt-in or opt-out? If there are no opportunities to consent, decline, opt in, or opt out, please explain.

GSA does not actively solicit any information from individuals. Any information submitted by individuals (personal or otherwise) is completely voluntary.

7.2 What procedures allow individuals to access their information?

Should an individual request access to their information, it can and would be provided, in accordance with GSA's Privacy Act Rules at 41 C.F.R. 105-64 et seq..escribe any procedures or regulations that allow an individual access to information collected and/or the accounting or disclosures of that information. These procedures should include [GSA's Privacy Act Rules](#). If an individual cannot access their information through the Privacy Act request process, state why.

7.3 Can individuals amend information about themselves? If so, how?

Individuals supply the original information. If information relevant to the inquiry is incorrect, it would be amended as part of the inquiry resolution.

SECTION 8.0 AWARENESS AND TRAINING

GSA trains its personnel to handle and protect PII properly.

8.1 Describe what privacy training is provided to users, either generally or specifically relevant to the system, application, or project.

All GSA employees and contractors with access to this system are required to complete IT Security Awareness and Privacy Training on an annual basis. Users who fail to comply may have all access to GSA systems revoked. High level system users receive annual role-based training

for accessing systems with elevated rights. In 2019, this training was called GSA Privileged Account Training and was offered through GSA Online University. (GSA OLU). Those who fail to comply have access revoked.

Additionally, approved GSA associates who upload documents to CDT receive initial and refresher training on securing PII.

SECTION 9.0 ACCOUNTABILITY AND AUDITING

GSA's Privacy Program is designed to make the agency accountable for complying with the Fair Information Practice Principles. GSA regularly checks that it is meeting the requirements and takes appropriate action if it is not.

9.1 How does the system owner ensure that the information is used only according to the stated practices in this PIA?

Controlled Document Tracker is identified as a Minor Application within Salesforce. Salesforce event monitoring is available for activity audits. Designated app owners have control over approving/denying stakeholder user access requests (via ServiceNow). Salesforce system administrators operating within the Salesforce EEO org are required to have Tier 2S clearance and use their designated SNA account. Access controls are monitored in accordance with GSA IT Policy.

^[1]OMB Memorandum [Preparing for and Responding to the Breach of Personally Identifiable Information](#) (OMB M-17-12) defines PII as: “information that can be used to distinguish or trace an individual's identity, either alone or when combined with other information that is linked or linkable to a specific individual.” The memorandum notes that “because there are many different types of information that can be used to distinguish or trace an individual's identity, the term PII is necessarily broad.”

^[2] Privacy Act of 1974, 5 U.S.C. § 552a, as amended.