# PRIVACY IMPACT ASSESSMENT (PIA)

**PRESCRIBING AUTHORITY**: DoD Instruction 5400.16, "DoD Privacy Impact Assessment (PIA) Guidance". Complete this form for Department of Defense (DoD) information systems or electronic collections of information (referred to as an "electronic collection" for the purpose of this form) that collect, maintain, use, and/or disseminate personally identifiable information (PII) about members of the public, Federal employees, contractors, or foreign nationals employed at U.S. military facilities internationally. In the case where no PII is collected, the PIA will serve as a conclusive determination that privacy requirements do not apply to system.

**1. DOD INFORMATION SYSTEM/ELECTRONIC COLLECTION NAME:**

Knowledge Exchange (Kx)

| **2. DOD COMPONENT NAME:** | **3. PIA  APPROVAL DATE:** |
|---|---|
| Defense Health Agency | 05/21/23 |

Program Executive Office (PEO) Medical Systems (J-6)

## SECTION 1: PII DESCRIPTION SUMMARY (FOR PUBLIC RELEASE)

**a. The PII is:** *(Check one. Note: Federal contractors, military family members, and foreign nationals are included in general public.)*

| | | |
|---|---|---|
| ☐ | From members of the general public | ☐ From Federal employees |
| **X** | from both members of the general public and Federal employees | ☐ Not Collected *(if checked proceed to Section 4)* |

**b. The PII is in a:** *(Check one.)*

| | | |
|---|---|---|
| ☐ | New DoD Information System | ☐ New Electronic Collection |
| **X** | Existing DoD Information System | ☐ Existing Electronic Collection |
| ☐ | Significantly Modified DoD Information System | |

**c. Describe the purpose of this DoD information system or electronic collection and describe the types of personal information about individuals collected in the system.**

The Knowledge Exchange (Kx) is a solution sponsored by the Defense Health Agency (DHA) that uses the Microsoft SharePoint platform with user-specified customizations to provide a robust enterprise content management and professional collaboration tool for all branches of the military and their contractors. This solution allows users to create and maintain intranet sites to host artifacts, materials, guidance, tools, and discussions, and includes a virtual library which provides an access point to medical journals/books and applications. This solution is both .mil and .com-accessible using Common Access Card (CAC) or Personal Identify Verification (PIV) card authentication and access is restricted only to content to which users are entitled.

Kx operates within the Amazon Web Services (AWS) General Support System (GSS) environment which resides in AWS GovCloud, an isolated AWS region, to support the strict regulatory and compliance requirements of United States (US) government agencies. The Managed Services Office (MSO) provides management and administrative support to systems within this environment, to include regulation of users, networks, hosts and other resources. Operational policies and constraints for a systems operating in this environment are available in the AWS GSS documentation. As part of its collaboration and content management offerings, the Kx SharePoint platform provides users the opportunity to collect and/or store Personally Identifiable Information (PII); however, the primary responsibility for determining what PII elements are to be collected and stored lies with the primary Department of Defense (DoD) component, Military Treatment Facility (MTF), or Federal Agency where PII is initially collected and primarily maintained.

The following categories of individuals from which PII is collected includes Active Duty Service Members, National Guard personnel, Reserve personnel, members of the general public, and Federal employees. Kx does not serve as the initial point of collection for any PII elements introduced by users.

Kx is owned and managed by the Web and Mobile Technology Program Management Office (W&MT PMO)/Solution Delivery Division (SDD)/Program Executive Office (PEO) Medical Systems (J-6)/Defense Health Agency (DHA).

**d. Why is the PII collected and/or what is the intended use of the PII?** *(e.g., verification, identification, authentication, data matching, mission-related use, administrative use)*

PII is collected for mission-related and administrative purposes. The intended use of the PII collected is to allow users to engage in content management, document management, file management, enterprise class search, business intelligence tooling, business process automation, and to utilize collaboration spaces.

**e. Do individuals have the opportunity to object to the collection of their PII?**          Yes     **X**   No

(1) If "Yes," describe the method by which individuals can object to the collection of PII.

(2) If "No," state the reason why individuals cannot object to the collection of PII.

Individuals do not have the opportunity to object to the collection of their PII because Kx is not the initial point of collection.

**f. Do individuals have the opportunity to consent to the specific uses of their PII?**      Yes    **x**    No

  (1) If "Yes," describe the method by which individuals can give or withhold their consent.

  (2) If "No," state the reason why individuals cannot give or withhold their consent.

Individuals do not have the opportunity to consent to the specific use of their PII because Kx is not the initial point of collection.

**g. When an individual is asked to provide PII, a Privacy Act Statement (PAS) and/or a Privacy Advisory must be provided.** *(Check as appropriate and provide the actual wording.)*

     Privacy Act Statement          Privacy Advisory          **x**     Not Applicable

Kx does not collect PII directly from individuals; therefore, no Privacy Act Statement or Privacy Advisory is required.

**h. With whom will the PII be shared through data/system exchange, both within your DoD Component and outside your Component?** *(Check all that apply)*

| | | |
|---|---|---|
| **x** Within the DoD Component | Specify. | DHA MTFs; Participating DHA Subcomponents |
| **x** Other DoD Components *(i.e. Army, Navy, Air Force)* | Specify. | Departments of the Army, Navy (Marines), and Air Force (Space Force) |
| **x** Other Federal Agencies *(i.e. Veteran's Affairs, Energy, State)* | Specify. | Department of Veterans Affairs<br>Department of Homeland Security (US Coast Guard) |
| State and Local Agencies | Specify. | |
| Contractor *(Name of contractor and describe the language in the contract that safeguards PII. Include whether FAR privacy clauses, i.e., 52.224-1, Privacy Act Notification, 52.224-2, Privacy Act, and FAR 39.105 are included in the contract.)* | Specify. | |
| Other *(e.g., commercial providers, colleges).* | Specify. | |

**i. Source of the PII collected is**: *(Check all that apply and list all information systems if applicable)*

| | | |
|---|---|---|
| Individuals | | Databases |
| **x** Existing DoD Information Systems | | Commercial Systems |
| **x** Other Federal Information Systems | | |

Existing DoD Information Systems: Kx customers determine which systems PII is to be collected from.

Other Federal Information Systems: Kx customers determine which systems PII is to be collected from.

**j. How will the information be collected?** *(Check all that apply and list all Official Form Numbers if applicable)*

| | | |
|---|---|---|
| E-mail | | Official Form *(Enter Form Number(s) in the box below)* |
| In-Person Contact | | Paper |
| Fax | | Telephone Interview |
| Information Sharing - System to System | **x** | Website/E-Form |
| Other *(If Other, enter the information in the box below)* | | |

**k. Does this DoD Information system or electronic collection require a Privacy Act System of Records Notice (SORN)?**

A Privacy Act SORN is required if the information system or electronic collection contains information about U.S. citizens or lawful permanent U.S. residents that is retrieved by name or other unique identifier. PIA and Privacy Act SORN information must be consistent.

     Yes    **x**    No

If "Yes," enter SORN System Identifier

SORN Identifier, not the Federal Register (FR) Citation. Consult the DoD Component Privacy Office for additional information or http://dpcld.defense.gov/

Privacy/SORNs/
    or

If a SORN has not yet been published in the Federal Register, enter date of submission for approval to Defense Privacy, Civil Liberties, and Transparency Division (DPCLTD).  Consult the DoD Component Privacy Office for this date

If "No," explain why the SORN is not required in accordance with DoD Regulation 5400.11-R: Department of Defense Privacy Program.

A system of record notice ("SORN") is not necessary because Knowledge Exchange ("Kx") is merely a website hosting platform and only Kx customers determine the collection of Personally Identifiable Information ("PII"). Nonetheless, Kx does not constitute a system of records since there is no actual retrieval of information by a personal identifier.

**l. What is the National Archives and Records Administration (NARA) approved, pending or general records schedule (GRS) disposition authority for the system or for the records maintained in the system?**

  (1) NARA Job Number or General Records Schedule Authority.       GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)

  (2)  If pending, provide the date the SF-115 was submitted to NARA.

  (3)  Retention Instructions.

FILE NUMBER: 103-14
DISPOSITION: Temporary. Delete no more than 7 years from the date last modified. (See DoD DTM 22-001 on default disposition policies and OSD Records Manager guidance which file number to associate).

**m.  What is the authority to collect information?  A Federal law or Executive Order must authorize the collection and maintenance of a system of records.  For PII not collected or maintained in a system of records, the collection or maintenance of the PII must be necessary to discharge the requirements of a statue or Executive Order.**

  (1)  If this system has a Privacy Act SORN, the authorities in this PIA and the existing Privacy Act SORN should be similar.
  (2)  If a SORN does not apply, cite the authority for this DoD information system or electronic collection to collect, use, maintain and/or disseminate  PII.
     (If multiple authorities are cited, provide all that apply).

    (a) Cite the specific provisions of the statute and/or EO that authorizes the operation of the system and the collection of PII.

    (b) If direct statutory authority or an Executive Order does not exist, indirect statutory authority may be cited if the authority requires the
       operation or administration of a program, the execution of which will require the collection and maintenance of a system of records.

    (c) If direct or indirect authority does not exist, DoD Components can use their general statutory grants of authority ("internal housekeeping") as
       the primary authority.  The requirement, directive, or instruction implementing the statute within the DoD Component must be identified.

5 U.S.C. Chapter 41, Training; 5 CFR part 410, Office of Personnel Management-Training; E.O. 11348, Providing for the Further Training of Government Employees, as amended by E.O. 12107, Relating to the Civil Service Commission and Labor-Management in the Federal Service; 10 U.S.C. 113, Secretary of Defense; 10 U.S.C. 136, Under Secretary of Defense for Personnel and Readiness.

**n. Does this DoD information system or electronic collection have an active and approved Office of Management and Budget (OMB) Control Number?**

Contact the Component Information Management Control Officer or DoD Clearance Officer for this information. This number indicates OMB approval to collect data from 10 or more members of the public in a 12-month period regardless of form or format.

     Yes      **X**  No      Pending

  (1) If "Yes," list all applicable OMB Control Numbers, collection titles, and expiration dates.
  (2) If "No," explain why OMB approval is not required in accordance with DoD Manual 8910.01, Volume 2, " DoD Information Collections Manual:
     Procedures for DoD Public Information Collections."
  (3) If "Pending," provide the date for the 60 and/or 30 day notice and the Federal Register citation.

OMB approval is not required since Kx is not the initial point of collection.