



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410-7000

PRIVACY OFFICE DIRECTIVE 02-00

DATE ISSUED: August 2020

SUBJECT: Personally Identifiable Information Inventory Maintenance & Compliance

1. PURPOSE

This Directive establishes the U.S. Department of Housing and Urban Development (HUD) requirements for the **creation and maintenance of the HUD Personally Identifiable Information (PII) Inventory**, as required by the Federal Information Modernization Act of 2014 (FISMA). As part of HUD Privacy Liaison Officers' (PLOs) critical role in supporting the Privacy Program's mission to protect and minimize impacts on the privacy of individuals, PLOs are responsible for ensuring their Office's inventory is exhaustive and consistently maintained. This includes, but is not limited to, responsibility for ensuring PIAs and SORNs are completed and appropriately maintained, completing the annual PLO Data Questionnaire, and accounting for paper-based records. This Directive also establishes PLOs and System Owners' responsibility to coordinate with the Privacy Office to ensure the PII Inventory is accurate and up to date.

2. SCOPE

This Directive applies to the **HUD PLOs** and **System Owners** to provide timely research and feedback in their respective Offices to the Privacy Office to ensure completion and maintenance of the PII Inventory.

3. AUTHORITY

All HUD employees and contractors are obligated to safeguard PII, as described in numerous federal statutes and regulations, including:

- a. Title 5, United States Code (U.S.C.), Section 552a, "Records Maintained on Individuals" [The Privacy Act of 1974, as amended]
- b. Title 44 U.S.C., Chapter 35, Subchapter III, "Information Security" [The Federal Information Security Management Act of 2002, as amended (FISMA)]
- c. Title 6 U.S.C. Section 142, "Privacy Officer"
- d. OMB Circular A-130 Section 5(a)
- e. OMB Memorandum M-17-12

The Federal Information Modernization Act of 2014 requires agencies to regularly review their holdings of PII. The head of each agency shall develop and maintain an inventory of major information systems operated by or under the control of such agency. Such inventory shall be (1) updated at least annually, (2) made available to the Comptroller General, and (3) used to support information resources management.

4. POLICY

The HUD Privacy Program supports the collection and maintenance of an accurate and complete PII inventory through complementary activities that help provide insight into PII holdings and controls, how information is used, and annual reviews to maintain its accuracy and completeness.

I. PIA & SORN Requirements

All HUD Information Systems and collections that contain PII are required to complete a PIA. Electronic and non-electronic systems of records that contain a group of records from which information is retrieved by the name of an individual, or by any number, symbol, or other unique identifier assigned to that individual are required to have a SORN. PIAs and SORNs are vital to HUD as they serve as the main component for collecting PII and inventorying PII to support the overall effort of maintaining the PII Inventory at HUD. In addition, PIAs are also required for Authority to Operate (ATO) requirements which is outlined in FISMA 2014 and HUD's IT Security Policy Handbook.

II. High-Risk Data Questionnaire Requirement

The HUD Office of the Chief Information Officer (OCIO) released the High-Risk Data Questionnaire to help identify sensitive data handled by each OCIO division, information systems used to store sensitive data, and business processes currently in place surrounding the handling and storage of sensitive data. The questionnaire is required to be completed by all Program Offices by their designated PLOs which will serve to support inventorying PII and maintaining the PII Inventory.

III. Annual Review

In addition to standard continuous monitoring procedures, the PII Inventory should be reviewed annually at the very minimum to ensure accuracy and to make note of any significant changes that may need to be reported.

5. RESPONSIBILITY

Each year, the HUD **Chief Privacy Officer (CPO)** will issue a data call to PLOs, six months in advance of the SAOP report deadline. **PLOs** will be responsible for coordinating their respective Office's PII inventorying and reporting efforts by the CPO's deadline in a template that the **CPO** will submit with the request. In addition, all HUD SORNs, PIAs, and Data Questionnaires will be reviewed for accuracy and updated annually at the minimum. Please see the HUD Privacy Handbook for details and procedures.

- a. As delegated by the **Senior Agency Official for Privacy (SAOP)**, the **CPO** has executive oversight and is responsible for ensuring the PII Inventory is reviewed and maintained annually.
- b. The **CPO** has delegated responsibility for overseeing completion and submission of SORNs and PIAs to PLOs.

- c. **PLOs** are responsible for reporting on their respective Office's PII holdings at least annually in a manner that is accurate, relevant, timely, and complete. This will be supported by **HUD Program Offices** ensuring that PII holdings within system of records, whether in electronic or nonelectronic form, is kept the minimum necessary for the proper performance of agency functions. Noncompliance will result in reports to the **PLO** and possible escalation to the **CPO**.
- d. The **CPO** will lead an annual review in which PLOs are required to report on their Office's complete PII holdings, including progress of PII minimization efforts and compliance with retention schedules.
- e. **PLOs** at HUD Offices are responsible for tracking violations and misuse of any information contrary to the terms of a SORN or PIA and reporting them to the Privacy Office.
- f. **System Owners** are required to coordinate with the **PLOs** of their respective office to ensure SORNs and PIAs are submitted on time and must also provide any information needed for annual PII Inventory review.

6. CANCELLATION

This Directive does not rescind, modify, or replace any existing HUD Privacy Office Directive or Memorandum.

Please direct all inquiries regarding the HUD Privacy Program to the **Privacy Office** at privacy@hud.gov.

LaDonne L. White