

US Department of Health and Human Services

Privacy Impact Assessment

Date Signed:

09/30/2013

OPDIV:

OS

Name:

Identity and Access Management System at HHS

PIA Unique Identifier:

P-2277902-798208

The subject of this PIA is which of the following?

Major Application

Identify the Enterprise Performance Lifecycle Phase of the system.

Operations and Maintenance

Is this a FISMA-Reportable system?

Yes

Does the system include a Website or online application available to and for the use of the general public?

No

Identify the operator.

Contractor

Is this a new or existing system?

Existing

Does the system have Security Authorization (SA)?

Yes

Indicate the following reason(s) for updating this PIA.

PIA Validation

Describe in further detail any changes to the system that have occurred since the last PIA.

The application has had several software releases. Additionally, OS patching occurs quarterly

Describe the purpose of the system.

Purpose of this system is to meet HSPD-12 requirements to provide physical and logical Identity and Access Management within HHS.

The IAM@HHS is a department-wide solution to issue PIV credentials to HHS employees and contractors and perform identification and authentication of local and remote users to allow access to HHS applications. The system will provide access and identity management for all users of HHS IT systems.

Describe the type of information the system will collect, maintain (store), or share.

The agency will collect the following PII information: full name, facial photograph, fingerprints, date of birth, home address, home phone number, background investigation form, the results of a background check, the approval signature of the person who registered the user in the system, card expiration date, the card serial number, and copies of the documents used to verify identity, such as driver's license or passport. Data is collected for all HHS employees (federal and contractors).

Mandatory submissions - The investigation is a federal government job requirement. Those who refuse to provide personal information will not meet the requirements of the job and will therefore not be considered further. Current employees who do not meet these requirements will be terminated.

Provide an overview of the system and describe the information it will collect, maintain (store), or share,

IAM is a system that supports the HHS Homeland Security Presidential Directive HSPD-12 program. Its functions will allow HHS to produce the new ID badges that will be required for all HHS employees and contractors across all HHS Operating Divisions (OpDivs). The PII collected will be used to uniquely identify personnel on Personal Identity Verification (PIV) cards. This information includes biometrics (fingerprints) and digital certificates. This system was authorized by the HHS CIO and meets Presidential Directive HSPD-12 guidance.

IAM is actually a suite of three systems, described below. It provides enrollment services (creating records and accounts of individuals), a centralized Personal Identity Verification (PIV) Smart Card Management System (controlling the issuing of PIV cards to individuals), local card production facility support, card activation, finalization and issuance. The HHS HSPD-12 program also provides logical access to HHS Enterprise applications (through AMS) and physical access to those HHS facilities that are integrated with the SecureSAFE solution.

1. Smart Card Management System (SCMS) - The SCMS manages and protects secure data about individuals/applicants and links to third-party systems to evaluate individuals' security status, providing up-to-date information about individuals who should be granted or denied access to HHS facilities and/or information systems. The SCMS is the "identity store," a resource that establishes an identity record for each individual. The records contain each individual's official identity information, including required biographic and biometric data, sponsorship and employer data, and adjudication results of background investigations. The SCMS collects data elements from the PIV card applicant, including name, date of birth, Social Security Number, organizational and employee affiliations, fingerprints, digital color photographs, work e-mail addresses, and phone numbers, as well as additional verification and demographic information (like the results of background investigations). The SCMS provides management of the various credential types, the cardholder data, and the card lifecycle. Main functionalities include:

- Requesting, distribution, and administration of cards;
- Card lifecycle and profile management;
- Data preparation for loading, installing, and personalization of cards;
- Visual personalization (photographs, etc.).

2. SecureSAFE - The HSPD-12 program follows a service-oriented architecture (SOA) approach in the transmission and exchange of applicant data (i.e., data about individuals who have been issued PIV cards) to and from various OPDIV Physical Access Systems (PACS). The SAFE application performs the synchronization and near real-time updates of identities from the SCMS, including updates of personal or credential information, handling expired or revoked PIV certificates, and the provisioning of new PIV holders. SecureSAFE enables security managers to create processes and policies to grant, manage, revoke, and provision physical security identities and access privileges even in an environment of disparate PACS vendors and technologies.

3. Access Management Systems (AMS) - AMS provides various benefits that enhance the user's experience by reducing the number of usernames and passwords users need to memorize, supporting multiple authentication methods (e.g. password, PIV card), limiting exchange/proliferation of user credentials, and enabling a consistent program-wide authentication service. The core AMS architecture implements a strong Identity and Access Management framework that provides user management, self-service, and authentication and authorization services. In addition, AMS provides robust identity management capabilities such as the ability to integrate OPDIV Active Directories and the SCMS with the HSPD-12 System. AMS provides HHS several functions which include Simplified Sign-On (SS)

Does the system collect, maintain, use or share PII?

Yes

Indicate the type of PII that the system will collect or maintain.

Social Security Number

Date of Birth

Name

Photographic Identifiers

Driver's License Number

Biometric Identifiers

Mailing Address

Phone Numbers

Employment Status

Place of birth, Unique identifier (card serial number)

Indicate the categories of individuals about whom PII is collected, maintained or shared.

Employees

Vendor/Suppliers/Contractors

none

How many individuals' PII is in the system?

100,000-999,999

For what primary purpose is the PII used?

HHS will use the information when individuals access federal facilities, computers, applications, or data to prove the individual's identity and right of access. Information is shared with OPM for clearance of employees, with the certification authority which provides digital certificates, and with the Federal Bridge Certification Authority (CA), an organization established to create a federal bridge using Commercial-Off-The-Shelf products to bind Agency PKIs together, ensure directory compatibility. Ultimately, PII will also be shared with other federal agencies to facilitate agency collaborations by allowing federal staff to enter other facilities, with permission. PII will also be shared with other systems that will interact with IAM to permit use of those services under SSO.

IAM will facilitate single sign-on (SSO) to many HHS systems. Initially, these systems will include HHSNet, Enterprise Human Resources and Personnel (EHRP), Enterprise Workflow Information Tracking System (EWITS), Payment Management System (PMS), One Stop Service (OSS), Integrated Time and Attendance System (ITAS), Business Intelligence Information System (BIBS), ACF SSI, NIH Sharepoint, GAL/ADAM, People Processing System, HHSIdentity/NED, Computer-Controlled Access (CCA), Parklawn Physical Access Control System (PACS), FDA PACS, SAMHSA PACS, NIH login / federated ID Service, HSPD-12/Virtual Directory (six instances at NIH, CMS, CDC, IHS, ASA/ACF/AHRQ/AOA/SAMHSA, and HRSA) HHS Enterprise Architecture Repository (HEAR), GovNet-NG, Managing & Accounting Credit Card System (MACCS), and Enterprise Portal.

SSO will also be available to many systems owned or operated by other agencies or contractors on behalf of HHS to conduct HHS services. These include Learning Management System (LMS, at the Office of Personnel Management (OPM)), Verizon CA (Verizon as a contractor for the General Services Administration (GSA)), FTS (OPM), Card Production (Contractor Oberthur

Describe the secondary uses for which the PII will be used.

N/A

Describe the function of the SSN.

The SSN is used for initial user authentication and matching resource access privileges to HR applications.

Cite the legal authority to use the SSN.

There is no specific legal authority for the use of the SSN, but the use of a widely-used, externally-verifiable unique identifier is critical to the effective implementation of HSPD-12. Currently, HHS is not aware of another identifier that meets our requirements.

Identify legal authorities governing information use and disclosure specific to the system and program.

HSPD-12 requires the implementation of systems and processes that "enhance security, increase Government efficiency, reduce identity fraud, and protect personal privacy by establishing a mandatory, Government-wide standard for secure and reliable forms of identification issued by the Federal Government to its employees and contractors (including contractor employees)."

Are records on the system retrieved by one or more PII data elements?

Yes

Identify the number and title of the Privacy Act System of Records Notice (SORN) that is being used to cover the system or identify if a SORN is being developed.

GSA/GOVT-7

Identify the sources of PII in the system.**Directly from an individual about whom the information pertains**

In-Person

Online

Government Sources

Within OpDiv

Non-Governmental Sources**Identify the OMB information collection approval number and expiration date**

N/A

Is the PII shared with other organizations?

No

Describe the process in place to notify individuals that their personal information will be collected. If no prior notice is given, explain the reason.

Individuals will be aware of what information is collected because they will be required to provide their information directly as part of the onboarding process. They will provide the information via a standard form (SF), SF 745.

Individuals will be aware of the purpose of submitting the information, which will be to request assignment of an access badge. Opportunities to further understand the use of their PII will occur during the completion of the eQIP profile, including the provision of background information.

Is the submission of PII by individuals voluntary or mandatory?

Mandatory

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.

The investigation is a federal government job requirement. Those who refuse to provide personal information will not meet the requirements of the job and will therefore not be considered further. Current employees who do not meet these requirements will be terminated.

Individuals submit their PII during the eQIP background screening process. They are informed that by signing the completed eQIP form and submitting it, they are authorizing HHS to verify the information provided as a condition of being permitted security clearance to work at their assigned tasks.

Process to notify and obtain consent from individuals whose PII is in the system when major changes occur to the system.

In cases involving individuals or small groups of users, notifications of major changes will be delivered via individual e-mails. In cases involving a large amount of users a mass email will be sent via distribution lists informing users of what has occurred, and their options, if there are any resulting procedural or privacy changes. Incidents will also be reported to the HHS Secure One Help Desk and resolved in a timely fashion.

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.

Individuals should contact their Chief Information Security Officers (CISOs) if they believe their PII has been inappropriately obtained, is incomplete or inaccurate, or is being misused. Individuals are informed of the proper procedures to follow in these circumstances during security and privacy training, which they are required to complete annually.

Describe the process in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy and relevancy.

HHS will periodically require individuals to update and verify the background information provided as a condition of re-issuing individual ID cards.

Identify who will have access to the PII in the system and the reason why they require access.**Users:**

To enter PII for enrollment or card issuance.

Administrators:

To ensure the smooth operation of the system.

Developers:

To debug system problems, routine maintenance.

Contractors:

If acting in the role of an administrator

Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.

The system makes extensive use of roles, rights, and privileges to enforce access to PII.

Describe the methods in place to allow those with access to PII to only access the minimum amount of information necessary to perform their job.

Access to PII is on a need-know basis, and derived by job role and access privileges.

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.

Personnel must attend all applicable federal privacy training. In addition, contractors attend additional PII training beyond that what is required by the Federal government.

Describe training system users receive (above and beyond general security and privacy awareness training).

Internal system training is available via role-based training presentations posted on the Intranet and on-the-job training. Both review PII concepts and security procedures to ensure personnel are adequately trained to carry out their assigned information security-related duties and responsibilities.

Do contracts include Federal Acquisition Regulation and other appropriate clauses ensuring adherence to privacy provisions and practices?

Yes

Describe the process and guidelines in place with regard to the retention and destruction of PII.

Records are retained in accordance with General Records Schedule (GRS) 18, Item 17. Unless retained for specific ongoing security investigations, records of access are maintained for five years for maximum security facilities and then destroyed. Records are maintained for two years for other facilities and then destroyed.

All other records relating to individuals are retained and disposed of in accordance with GRS 18, Item 22a.

In accordance with HSPD-12, PIV Cards are deactivated within 18 hours of cardholder separation, loss of card, or expiration. The information on PIV Cards is maintained in accordance with GRS 11, Item 4. PIV Cards are destroyed by cross-cut shredding no later than 90 days after deactivation.

Describe, briefly but with specificity, how the PII will be secured in the system using administrative, technical, and physical controls.

The database and individual OPDIV feeder servers are located within secured buildings. Different degrees of security have been implemented at all locations, with some including biometrics and closed circuit TV.

Technical controls which minimize the possibility of unauthorized access, use, or dissemination of the data in the system are also in place. These include: user identification, firewalls, VPN, encryption, Intrusion Detection System and PIV Cards.

Guards, ID Badges and Key cards further ensure PII will be secure.