



Privacy Impact Assessment Form

This document is only used when the Chief Privacy Officer (CPO) determines that the system contains personally identifiable information and a more in depth assessment is required.

Please complete this form and send it to the CPO:

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Guidance for Completing the Privacy Impact Assessment (PIA)

A Privacy Impact Assessment (PIA) is an analysis of how information in identifiable form is handled. PIAs are to be completed when FHFA: 1) develops or procures IT systems or projects that collect, maintain, or disseminate information in identifiable form from or about members of the public; or 2) initiates a new electronic collection of information in an identifiable form for 10 or more members of the public. System owners and developers are responsible for completing the. The guidance below has been provided to help the system owners and developers complete the PIA.

Overview

- This section should provide a thorough and clear overview of the system and give the reader the appropriate context to understand the system owner's responses in the PIA. What is the purpose of the IT system? What will be the primary uses of the system? How will this support the program's mission?
- This section fulfills the E-Government Act's requirement for an introduction for members of the public who may be reading the PIA. PIAs will be made publicly available (unless a determination is made to not make the PIA available because publication would raise security concerns and/or reveal classified or sensitive information).

Section 1.0 Characterization of the Information

- Identify if the system contains information about individuals, versus statistical, geographic, or financial, with no link to a name or other identifier, such as name, home address, social security number, account number, home telephone and fax numbers, or personal e-mail address.
- Examples of sources of the information include information that comes from individuals applying for loans, mortgages, and forms individuals completed. Where does the data originate? (e.g., the FHA, Office of Personnel Management, and Financial Institutions). A third party is usually a non-Federal person or entity, which may be a source of data/information (e.g., a bank, an internet service provider, an organization).
- If the system collects information from 10 or more members of the public, ensure that the agency has received OMB's approval to do so or determine whether OMB's approval is needed to collect the information in accordance with the Paperwork Reduction Act of 1980.

Section 2.0 Uses of the Information

- Identify the primary uses of the information and how the information supports the program's mission.
- Identify the controls that are in place to ensure the information will be used for the manner for which it was collected. For example, access to the information will be restricted a limited number of program staff who use the data for their specific program use.

Section 3.0 Retention

- The Privacy Act requires agencies to address the retention and disposal of information about individuals. (The retention information is published in the Privacy Act system of records notice).
- The retention periods of data/records that the agency manages are contained in either the NARA General Records Schedule or agency Records Schedule. For the data being created/ maintained in the system, the records schedules are the authoritative sources for this information.

- Disposing of the data at the end of the retention period is the last state of life cycle management. Records subject to the Privacy Act have special disposal procedures (e.g. shredding of paper documents).

Section 4.0 Notice, Access, Redress and Correction

- The Privacy Act at 5 U.S.C. 552a(e)(1) requires that "each agency that maintains a system of records shall maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or by executive order of the President."
- Data can be retrieved in a number of ways, but there is usually a personal identifier associated with a record. If the system retrieves information by an individual's name or other personal identifier it is a Privacy Act system and may need a system of records notice (SORN published in the Federal Register. The system may already have a Privacy Act SORN that applies to it. If you do not have a published SORN, contact the Privacy Act Officer. The Privacy Act requires that amendments to an existing system must also be addressed in a Federal Register notice. Any employee who knowingly and willfully maintains a systems of records without meeting the Privacy Act notice requirements (5 U.S.C. 552a(e)(4)) is guilty of a misdemeanor and may be fined up to \$5,000.
- If a name or other personal identifier is not used to retrieve information, it is possible that the system is not a Privacy Act system. However, even though information may not fall under the Privacy Act's protection and requirements, certain information may be protected from disclosure under the Freedom of Information Act.
- The agency has developed and published an agency specific Privacy Act Rule in the Federal Register (12 CFR Part 1204) that explains how individuals can gain access to information about themselves and correct errors if appropriate.
- The Privacy Act of 1974 requires that agencies only maintain data that is accurate, relevant, timely, and complete about individuals. These requirements are statutory and need to be addressed. If the data does not meet any one of these four components, then fairness in making any determination is compromised.

Section 5.0 Sharing and Disclosure

- If it is unknown to you whether or not systems share data, you can either contact the business owner of the data, or you can contact the IT specialist who knows what other interface goes on between the systems/applications. As an example, if your system/application shares data with another system/application, ask yourself whether you have access to the data in the interfaced system/application. If so, then your answer is yes and an explanation is needed.
- Also consider "other" users who may not be obvious as those listed, such as the GAO or the Inspector General. "Other" may also include database administrators or IT Security Officers. Also include organizations listed in the Privacy Act system of records notice under the "Routine Use" section when a Privacy Act system of records notice is required. The more comprehensive the list, the better it is.
- You must first review appropriate SORN to determine whether any information that may come from an existing SORN allows that information to be exchanged and used for these new purposes or uses. There are statutory restrictions on use and disclosure of information that comes from a SORN.

Section 6.0 Technical Access and Security

- For the most part, access to data by a user within FHFA is determined by the "need-to-know" requirements of the Privacy Act (this means to authorized employees within the agency who have a need for the information to perform their duties). Care should be taken to ensure that only those employees who need the information have access to that information. Other considerations are the user's profile based on the user's job requirements and managerial decisions.

- The criteria, procedures, controls and responsibilities regarding access must be documented to comply with the intent of the Federal Information Security Management Act of 2002 for standards and guidelines on security and privacy. What criteria will the manager and system security person use to decide on access to the data, for example?
- The system owner is responsible for ensuring that access to information and data is restricted to authorized personnel. Usually, a user is only given access to certain information that is needed to perform an official function. Care should be given to avoid "open systems" where all information can be viewed by all users. System administrators may be afforded access to all of the data depending upon the system and/or application. However, restrict access when users may not need to have access to all the data.
- When a contract provides for the operation of a system on behalf of FHFA, the Privacy Act requirements must be applied to such a system.
- The IT Security C&A process requires a system security plan that identifies the technical controls associated with identification and authentication of users. Certain laws and regulations require certain monitoring for authorized reasons by authorized employees. What is in place to ensure that only those authorized can monitor use of the system? For example, business rules, internal instructions, posting Privacy Warning Notices address access controls and violations for unauthorized monitoring and access. It is the responsibility of managers of systems to ensure no unauthorized monitoring is occurring.
- The IT Security Plan describes the practice of applying logical access controls. Logical access controls are system-based means by which the ability is explicitly enabled or restricted. It is the responsibility of managers of systems to ensure no unauthorized access is occurring.
- The IT Security Plan describes the practice of audit trails. Audit trails maintain a record of system activity and user activity including invalid logon attempts and access to data. The C&A process requires a system security plan outlining the implementation of the technical controls associated with identification and authentication.
- According to OMB Circulars A-123 and A-130, every system/application/process that uses data must have some sort of control to prevent the misuse of the data by those having access to the data. For instance, in computerized systems the Security Information Record (SIR) is part of the Core Storage Terminal Table. The SIR is the automated tool that identifies and authenticates an individual for the system and is transparent to the user. Describe these in response to this question.
- Are there privacy and security awareness controls such as training materials for personnel? All employees, including contractors, have requirements for protecting information in Privacy Act systems
- Describe the controls in place to protect the information.

System Name: FHR Navigator

System Owner(s):

| Name | E-mail | Phone # |
|-------------|--|---------------|
| Bob Stanton | Bob.stanton@fhfa.gov | (202)408-2816 |
| | | |

Overview

The overview section provides an overview of the system and should address the following elements:

- The system name and the division/office that owns the system;
- The purpose of the program, system, or technology and how it relates to the agency’s mission;
- A general description of the information in the system.

| System Overview |
|--|
| <p>FHR Navigator is an enterprise HR system that automates Federal human resources functions. It is a suite of web-based software tools that is undergirded by a centralized database to support the strategic management of human capital within the Federal workplace. The tools contained within FHR Navigator support simultaneous database access by employees and HR personnel. The main tool within the application is the Federal Retirement Benefits (FRB) Web, which is a calculator that generates benefits information. Another feature is the Forms Manager which allows employees and HR personnel access to over 150 electronic Federal forms for use in on-boarding, employee separation and transfer, processing deposit and redeposit payments, and completing TSP, FEHB, and FEGLI elections. Employees can fill out forms electronically and the data flows automatically into the central database. The system also assists with retirement planning, HR case tracking, personnel data management, and reporting.</p> |

Section 1.0 Characterization of the Information

The following questions define the scope of the information requested and/or collected as well as reasons for its collection as part of the program, system, rule, or technology being developed. The questions address all information collected, with more emphasis provided on the collection of personally identifiable information (PII), such as name, address, social security number, date of birth, financial information, etc.

| # | Question | Response |
|-----|---|---|
| 1.1 | What information is collected, used, disseminated, or maintained in the system? | Name, DOB, SSN, Address, Phone, Email, Military Status, Employment Status, Salary, Life Insurance Status, Health Insurance Status, TSP, Status, Retirement Plan, Phone #. |

| # | Question | Response |
|-----|--|---|
| 1.2 | What are the sources of the information in the system? | <ol style="list-style-type: none"> 1. Department of Agriculture’s National Finance Center – Personnel/Payroll System 2. FHFA Employees input into electronic versions of HR forms. |
| 1.3 | Why is the information being collected, used, disseminated, or maintained? | <ol style="list-style-type: none"> 1. To provide employees with a tool for determining retirement estimates to best plan for their financial future. 2. Assist with the new employee on-boarding process. |
| 1.4 | How is the information collected? | <ol style="list-style-type: none"> 1. Automated data feed from the NFC payroll system. Data feed will come in on a bi-weekly basis. 2. FHFA employee will manually enter data into electronic versions of HR forms. |
| 1.5 | Given the amount and type of data collected, what risks to an individual’s privacy are associated with the data? | The system will contain sensitive PII including social security numbers, financial information, and date of birth. If the system security is compromised FHFA employees could be at risk for identity theft and/or financial harm. |

Section 2.0 Uses of the Information

The following questions clearly delineate the use of information and the accuracy of the data being used.

| # | Question | Response |
|-----|---|--|
| 2.1 | Describe the uses of information. | The system is a tool to help employees with financial/retirement planning and will calculate retirement estimates based on specific employee data. The system will also be used to automate the on-boarding process and improve the process for completing HR forms. |
| 2.2 | Describe any types of controls or safeguards in place to ensure that information is only used in the manner for which it was collected. | <p>The system has limited functionality for calculating retirement estimates and assisting with the completion of HR forms. Employee participation in the system is voluntary and employees can opt out of the system. Employees are provided access to only their data.</p> <p>The system includes audit capability to track who accessed the data.</p> |

Section 3.0 Retention

The following questions outline how long information will be retained after the initial collection.

| # | Question | Response |
|-----|--|--|
| 3.1 | How long is information retained? | Since information within the FHR Navigator is not the official record, data will be deleted upon employee separation from FHFA (or sooner at the request of the employee). |
| 3.2 | Has the retention schedule been approved by the component records officer and the National Archives and Records Administration (NARA)? | N/A |
| 3.3 | Please discuss the risks associated with the length of time data is retained and how those risks are mitigated. | See 3.1 |

Section 4.0 Notice, Access, Redress and Correction

The following questions are directed at notice to the individual, the individual's right to consent to uses of the information, the individual's right to decline to provide information, and an individual's ability to ensure the accuracy of the information collected about them.

| # | Question | Response |
|-----|---|---|
| 4.1 | Has a System of Record Notice (SORN) been created? | OPM/GOVT-1 |
| 4.2 | Was notice provided to the individual prior to collection of information? | Notice will be provided prior to the system go-live. Existing employees will have the option to opt-out and new employees are provided the opportunity as they enter on duty. |
| 4.3 | Do individuals have the opportunity and/or right to decline to provide information? | Yes, however, this will limit their access to the functionality of the system. Employees will not be able to use the tool for retirement estimates or filling out forms. |

| # | Question | Response |
|-----|---|---|
| 4.4 | What are the procedures that allow individuals to gain access to their information? | Individuals participating in the program gain access through their username and password. The information is accessed through an SSL connection that utilizes FIPS 140-2 approved cryptographic keys. All users must be identified and authenticated prior to them having access to PII. |
| 4.5 | What are the procedures for correcting inaccurate or erroneous information? | Corrections will be made manually by OHRM staff to either NFC or FHR Navigator. |

Section 5.0 Sharing and Disclosure

The following questions define the content, scope, and authority for information sharing.

| # | Question | Response |
|-----|--|---|
| 5.1 | With which internal organization(s) is the information shared, what information is shared and for what purpose? | <ol style="list-style-type: none"> OHRM staff (HR Specialists) Employee (self access only) |
| 5.2 | With which external organization(s) is the information shared, what information is shared, and for what purpose? External organization(s) include Federal, state and local government, and the private sector. | EconSys, Inc. (FHR Navigator Vendor). FHFA has a contract with EconSys, Inc., who is the operator of the system. |
| 5.3 | Is the sharing of PII outside the agency compatible with the original information collection? If so, is it covered by an appropriate routine use in a SORN? If so, please describe. If not, please describe under what legal authority the program or system is allowed to share the PII outside of the agency. | Yes, OPM/GOVT-1 allows for disclosure of information to contractors hired by the agency. |
| 5.4 | Given the external sharing, explain the privacy risks identified and describe how they were/are mitigated. | Risks associated with external vendor maintaining data. OTIM completed C&A of vendor to identify and mitigate such risks. |

Section 6.0 Technical Access and Security

The following questions describe technical safeguards and security measures.

| # | Question | Response |
|-----|--|--|
| 6.1 | What procedures are in place to determine which users may access the system and are these procedures documented? | Application users are comprised of FHFA HR specialists and assistants, and FHFA employees. Accounts with HR roles are controlled by the agency, created by an EconSys administrator at the request of the FHFA systems administrator. Employee accounts are created for employees contained in the biweekly data import, under the coordination of the FHFA System Owner. |
| 6.2 | Will contractors have access to the system? If yes, how will contractors gain access to the system? How will the agency control their access and use of information? | FHFA will allow EconSys access to the system only through the permission of the FHFA system administrator. The EconSys Administrator will need access because the database is hosted by EconSys. |
| 6.3 | Describe what privacy training is provided to users either generally or specifically relevant to the program or system? | Privacy training is done annually within FHFA. |
| 6.4 | What technical safeguards are in place to protect the data? | <p>The information contained within FHR Navigator is stored using approved NIST SP 800-53 Rev. 3 Management, Operational and Technical controls for a MODERATE information system. The information is stored on a server in a locked server room with a card reader that logs all entry into the facility.</p> <p>The information is accessed through an SSL connection that utilizes FIPS 140-2 approved cryptographic keys. All users must be identified and authenticated prior to them having access to PII. The system logs access and records all transaction based changes to the information system.</p> |

| # | Question | Response |
|-----|--|---|
| 6.5 | What auditing measures are in place to protect the data? | <p>FHR Navigator keeps data regarding all aspects of PII accessed by users. The following is the audit information stored every time a user accesses agency PII:</p> <ol style="list-style-type: none"> 1. Audit ID (a number assigned to the event) 2. User ID of the person triggering the event 3. The name of the person with that user ID 4. The group description (basically what agency they belong to or if they are EconSys employees) 5. Date/Time stamp 6. What role they logged in or attempted to log in as (Employee, specialist, Admin, or failed) 7. Client ID (number assigned to their agency) <p>With this information, FHR Navigator can accurately track all data extracts. The audit trail information is retained indefinitely within the FHR database and all backups.</p> |
| 6.6 | Has a Certification & Accreditation been completed for the system or systems supporting the program? | <p>Yes, a Security Certification and Accreditation (C&A) for this system was completed by FHFA in accordance with the requirements of the Federal Information Security Act of 2002 (FISMA). The C&A process is an audit of policies, procedures, controls, and contingency planning, required to be completed for all federal government IT systems every three years.</p> |

FHR Navigator

Signature Page



System Owner
Federal Housing Finance Agency

5/6/10
Date

N/A – Commercial Software Package

System Developer
Federal Housing Finance Agency

Date



Chief Information Security Officer
Federal Housing Finance Agency

5/12/10
Date



Chief Information Officer
Federal Housing Finance Agency

5/12/10
Date



Chief Privacy Officer
Federal Housing Finance Agency

5/13/2010
Date