September 16, 2020

ARIZONA STATE RETIREMENT SYSTEM

ITAC Presentation
Information Protection & Security (IPS)
Change Request

Information Protection & Security Background

The Information Protection & Security (IPS) PIJ was approved in December 2018 so the ASRS could make modifications to our Pension Administration System to limit Personally Identifiable Information (PII) display, enhance security logging and modify our call center PII requirements.

Preliminary analysis began on the project in November of 2019, as scheduled. In February 2020, however, the team was reassigned by ASRS Senior Management to a higher priority project to address findings by an external auditor in a cash controls audit. Our other development teams were not available because they were focused on other priorities like the 6-year, $10 million Oracle Modernization PIJ project.

Going forward, the seven ASRS development teams will be allocated as follows: 1. Security Remediation, 2. Production Support, 3. Pension Administration System "Spring" Upgrade, 4. IPS PIJ, 5-7. Oracle Modernization PIJ (3 concurrent projects).

Information Protection & Security Proposed Change

The cash control audit project has finished under budget and on schedule. The Oracle Modernization project is on track to be completed on time and on budget.

We are ready to restart the IPS project. We are requesting a modification to both the start and end dates.

Original Start Date 11/15/2019
Proposed Start Date 9/21/2020

Original End Date 6/30/2023
Proposed End Date 4/30/2024

The IPS project will have no change in scope or budget.
Original Total Budget: $3,071,069

Original Milestones

Milestone #	Milestone Name	Status	Original Start	Original Finish	Duration
M-1677	Phase 1: Modify FileNet and workflow to use PID	On Schedule	11/15/19	7/15/20	8 Months
M-1678	Phase 2: Replace PII within internal Applications	Not Started	3/5/20	6/5/20	3 Months
M-1679	Phase 3: Create new FileNet document Class	Not Started	6/8/20	2/23/21	9 Months
M-1680	Phase 4: Data Access Logs for POL system. Will allow us to track exactly who is doing what at the micro level.	Not Started	2/24/21	8/1/22	18 Months
M-1681	Phase 5: Call Center Changes Modify IVR to not ask for SSN, possibly take advantage of ANI to verify authenticity of caller ID data for incoming calls.	Not Started	8/2/22	1/11/23	6 Months

Revised Milestones

Milestone #	Milestone Name	Status	Estimated Start	Estimated Finish	Duration
M-1677	Phase 1: Modify FileNet and workflow to use PID	On Schedule	9/21/20 (restart)	4/30/21	8 Months
M-1678	Phase 2: Replace PII within internal Applications	Not Started	12/21/20	4/30/21	5 Months
M-1679	Phase 3: Create new FileNet document Class	Not Started	4/12/21	1/20/22	9 Months
M-1680	Phase 4: Data Access Logs for POL system. Will allow us to track exactly who is doing what at the micro level.	Not Started	12/29/21	6/25/23	18 Months
M-1681	Phase 5: Call Center Changes Modify IVR to not ask for SSN, possibly take advantage of ANI to verify authenticity of caller ID data for incoming calls.	Not Started	6/6/23	12/20/23	6 Months

QUESTIONS

Appendix

Problem Description

Every two years the Arizona State Retirement System (ASRS) hires outside companies to do a security audit which provides us with a score that rates our implementation of security controls recommended by the National Institute of Standards and Technology (NIST).

The ASRS also has a privacy audit conducted every three years, this provides us with a score rating our application of privacy based on Generally Accepted Privacy Principles (GAPP).

Recent audit findings and security events have uncovered two key security related items we would like to address with this project.

1.   **Data Logging-** We have been unable to provide authorities with information about which users have accessed specific accounts in relation to security events.

2.   **Personally Identifiable Information (PII) Protection**- Our most recent Privacy and Security Audit results have shown us areas where we can improve by further limiting internal user access to PII.

Appendix

Phase 1: Modify FileNet to use PID

ASRS will transition to identifying people using "Person ID" (PID) for all internal purposes. This is an ASRS specific number that will meet our needs to identify people within the ASRS for all internal business purposes.

Phase 2: Replace PII within Applications

Systems/Screens that display SSN/bank account number will be modified to display a portion of the SSN/bank account number. Full SSN access can be granted to specific groups and all access will be logged.

Phase 3: Create new FileNet Document Class

A new FileNet document class will be created and utilized to store documents that might contain SSN or bank account number.

Phase 4: Data Access Logs

ASRS will add additional access logging for all ASRS applications. This will enable us to track exactly which user id has accessed any screen at the ASRS. We will create a reporting interface to provide useful access logs.

Phase 5: Call Center Changes

Eliminate prompting callers for SSN when calling into our call center. We propose using the caller's Caller ID (ANI- Automatic Number Identification) data to attempt pre identification.

Appendix

Project Benefits

- Reduced access to PII along with Access logging, lowers our risk of internal fraud
- Securing member PII by eliminating SSN as the main identifier in multiple software systems
- Logging solution will provide valuable forensic data in the case of a breach
- Improved compliance with GAPP (Generally Accepted Privacy Principles)