U.S. Department of the Interior
PRIVACY IMPACT ASSESSMENT

Introduction

The Department of the Interior requires PIAs to be conducted and maintained on all IT systems whether already in existence, in development or undergoing modification in order to adequately evaluate privacy risks, ensure the protection of privacy information, and consider privacy implications throughout the information system development life cycle. This PIA form may not be modified and must be completed electronically; hand-written submissions will not be accepted. See the DOI PIA Guide for additional guidance on conducting a PIA or meeting the requirements of the E-Government Act of 2002. See Section 6.0 of the DOI PIA Guide for specific guidance on answering the questions in this form.

NOTE: See Section 7.0 of the DOI PIA Guide for guidance on using the DOI Adopted PIA template to assess third-party websites or applications.

Name of Project: California-Great Basin Region Industrial Control Systems - Folsom Electronic Access Control and Surveillance System (CGB ICS – Folsom EACSS)
Bureau/Office: Bureau of Reclamation/California-Great Basin Regional Office
Date: September 26, 2022
Point of Contact:
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Section 1. General System Information

A. Is a full PIA required?

☒ Yes, information is collected from or maintained on
- ☐ Members of the general public
- ☒ Federal personnel and/or Federal contractors
- ☐ Volunteers
- ☐ All

☐ No:

B. What is the purpose of the system?

The California-Great Basin Industrial Control System (CGB ICS) is a management program that provides a security boundary at the program level for two separate systems: the Folsom Electronic Access Control and Surveillance System (EACSS) and the Shasta EACSS.

This Privacy Impact Assessment is being conducted to evaluate the privacy risks of the California-Great Basin Industrial Control System – Folsom Electronic Access Control and Surveillance System (CGB ICS - Folsom EACSS) due to its security related purpose and the sensitive PII maintained in the system in the form of video surveillance footage. The CGB ICS - Folsom EACSS system supports surveillance at Folsom Dam located in Folsom, California.

The CGB ICS - Folsom EACSS is a physical protection system consisting of technical capabilities designed to provide an integrated method of detection and response to alarms, threats, and other adversarial actors and activities, with an overarching purpose to provide access control and monitoring to perimeters within the facility that are either sensitive or secure. Its technical capabilities include electronic access control (Proximity cards), alarm sensors, and video surveillance. The CGB ICS - Folsom EACSS system is deployed on an isolated, dedicated network system. This deployment does not interconnect with any other information system.

C. What is the legal authority?

5 U.S.C. 301; Federal Information Security Act (Pub. L. 104-106, section 5113); E-Government Act (Pub. L. 104-347, section 203); Paperwork Reduction Act of 1995 (44 U.S.C. §§3501-3521); Government Paperwork Elimination Act (44 U.S.C. § 3504); Homeland Security Presidential Directive 12, Policy for a Common Identification Standard for Federal Employees and Contractors, August 27, 2004; Federal Property and Administrative Act of 1949, as amended; the Intelligence Reform and Terrorism Prevention Act of 2004, Pub. L. 108-458, Section 3001 (50 U.S.C. 435b); Executive Order 9397; Executive Order 12968; Federal Property Regulations, July 2002; and Presidential Memorandum on Upgrading Security at Federal Facilities, June 28, 1995.

D. Why is this PIA being completed or modified?

☐ New Information System
☐ New Electronic Collection
☒ Existing Information System under Periodic Review
☐ Merging of Systems
☐ Significantly Modified Information System
☐ Conversion from Paper to Electronic Records
☐ Retiring or Decommissioning a System
☐ Other:

E. Is this information system registered in CSAM?

☒ Yes: UII: 010-000001949, Folsom EACSS System Security and Privacy Plan

☐ No

F. List all minor applications or subsystems that are hosted on this system and covered under this privacy impact assessment.

Subsystem Name	**Purpose**	**Contains PII** *(Yes/No)*	**Describe** *If Yes, provide a description.*
None	**None**	No	N/A

G. Does this information system or electronic collection require a published Privacy Act System of Records Notice (SORN)?

☒ Yes: INTERIOR/DOI-46, Physical Security Access Files, 85 FR 3406, January 21, 2020; Final Rule for Privacy Act Exemptions, 86 FR 49927, September 7, 2021.

☐ No

H. Does this information system or electronic collection require an OMB Control Number?

☐ Yes

☒ No

Section 2. Summary of System Data

A. What PII will be collected? Indicate all that apply.

☒ Name
☒ Other: The CGB ICS - Folsom EACSS system contains information on individuals that require regular, ongoing access to Folsom Dam. Visitor name and signature are collected as part of the visitor register. Video surveillance is used within the CGB ICS - Folsom EACSS to monitor and detect unauthorized access to Folsom Dam. The only PII

related aspect would be images used for manual facial recognition and identification and only used for incident-based scenarios of unauthorized access to the facility including predetermined restricted areas.

B. What is the source for the PII collected? Indicate all that apply.

☒ Individual
☐ Federal agency
☐ Tribal agency
☐ Local agency
☒ DOI records
☐ Third party source
☐ State agency
☐ Other:

C. How will the information be collected? Indicate all that apply.

☒ Paper Format
☐ Email
☒ Face-to-Face Contact
☐ Web site
☐ Fax
☐ Telephone Interview
☐ Information Shared Between Systems
☒ Other: Camera to obtain employee picture for profile.

D. What is the intended use of the PII collected?

PII collected and maintained in CGB ICS - Folsom EACSS is used to ensure only authorized employees and contractors with proper identification are permitted entry into to Folsom Dam.

E. With whom will the PII be shared, both within DOI and outside DOI? Indicate all that apply.

☒ Within the Bureau/Office: Reclamation Systems Administrators (authorized employees only) manage user access, review and analyze user account information (name, username, login dates, access attempts, etc.) against operating system and security

events when providing help desk support, and report inappropriate or unusual activity to designated DOI officials. Security office personnel and system administrators at the facilities, as well as the ICS and Physical Security Perimeter (PSP) that resides within the facilities, have different defined levels of access to the data within the system, depending on their access rights. Security office personnel have 24/7 view only access to the data, this includes video footage and proximity card logs. Security office personnel are given this access for the purpose of providing a monitoring system with the overarching and ultimate goal of providing a robust, responsive, and 24/7 site wide physical security program that helps ensure the reliability and safety of the facility. System administrators are the only individuals that have 24/7 read (view), write, and export access to the data that resides within the EACSS system including all forms of PII data that resides on the system. In addition, Physical Security Managers have privileges to export video only. System administrators are given this level of access to maintain, repair, and patch vulnerabilities, which helps to ensure that the PSP remains a reliable tool for the Security office personnel to provide the comprehensive security program that the facilities need.

☒ Other Bureaus/Offices: Data residing on the EACSS system will be utilized by other DOI Bureaus and Offices only for criminal investigation purposes, and only when given proper authorization through the correct channels within the DOI and/or Reclamation approval.

☒ Other Federal Agencies: Data may be shared with other Federal agencies, such as the Federal Bureau of Investigation or Department of Homeland Security if requested for investigative purposes due to criminal activity and only with proper DOI and/or Reclamation approval as authorized by the Privacy Act and outlined in the routine uses section of the published INTERIOR/DOI-46, Physical Security Access Files system of records notice.

☒ Tribal, State or Local Agencies: Reclamation may share information with Tribal, State or Local Agencies as authorized by the Privacy Act and outlined in the routine uses section of the published INTERIOR/DOI-46, Physical Security Access Files system of records notice, or when necessary for investigative purposes due to criminal activity and only with proper DOI and/or Reclamation approval.

☐ Contractor:

☐ Other Third Party Sources:

F. Do individuals have the opportunity to decline to provide information or to consent to the specific uses of their PII?

☒ Yes: User information is voluntarily provided by employees and contractors when requesting access to the facilities. For individuals to report to their duty stations, basic information is required for granting the appropriate permissions while maintaining the integrity of security of the work site. If users decline to provide the requested information they will be denied access to the facility and will be unable to work at this location.

☐ No:

G. What information is provided to an individual when asked to provide PII data? Indicate all that apply.

☒ Privacy Act Statement: Signs are posted letting individuals know that the facilities are under video surveillance.

A Privacy Notice is provided to individuals through a posted sign at the entrance to the facility or displayed on monitors within the facility, and copies will be made available upon request. The notice includes legal authorities for collecting information, the purpose of the collection and uses of the information, how and to whom it is shared outside of the Department, and how the provision of information is voluntary and that visitors may decline to provide information and how that may prevent them from entering the facility.

☒ Privacy Notice: Notice is also provided through the publication of this privacy impact assessment and the INTERIOR/DOI-46 Physical Security Access Files system of records notice.

☐ Other:

☐ None

H. How will the data be retrieved? List the identifiers that will be used to retrieve information (e.g., name, case number, etc.).

Records may be retrieved by employee name; image; organization/office of assignment. date, time or location of entry or exit; or proximity card number.

I. Will reports be produced on individuals?

☒ Yes: CGB ICS - Folsom EACSS has limited reporting capabilities. Reports may be generated by the system administration upon request by Reclamation officials in response to security breach investigations. Reports on individuals will include name and time and location of access.

☐ No

Section 3. Attributes of System Data

A. How will data collected from sources other than DOI records be verified for accuracy?

Data is collected from DOI records and is not collected from other sources.

B. How will data be checked for completeness?

Data and photo are verified against the PIV card prior to loading into CGB ICS - Folsom EACSS. It is the responsibility of the sponsoring agency to verify the accuracy of the information collected in USAccess.

C. What procedures are taken to ensure the data is current? Identify the process or name the document (e.g., data models).

Data and photo are verified against the PIV card prior to loading into CGB ICS - Folsom EACSS. It is the responsibility of the sponsoring agency to verify the accuracy of the information collected in USAccess.

D. What are the retention periods for data in the system? Identify the associated records retention schedule for the records in this system.

CGB ICS - Folsom EACSS records are retained in accordance with the Departmental Records Schedule (DRS) 1.1.01.10, "Administrative - Short-term" which has been approved by the National Archives and Records Administration (NARA) (DAA -0048-2013-0001). MP ICS - Folsom EACSS records are cutoff at the end of the fiscal year and destroyed 3 years after cutoff.

Records on user activity are retained in accordance with DRS – Administrative schedule 1.4 A.1 – [0013] Short Term IT Records – System Maintenance and Use Records

(DAA-0048-2013-0001-0013). The disposition is Temporary. Records are cut off when superseded or obsolete. See records manual for specific criteria that may determine when a record is obsolete or superseded. Destroy no later than 3 years after cut-off. For user activity records, once user accounts are terminated in the system the records are removed in accordance with the DRS records retention schedule.

E. What are the procedures for disposition of the data at the end of the retention period? Where are the procedures documented?

Approved disposition methods include shredding or pulping for paper records, and degaussing or erasing for electronic records, in accordance with NARA Guidelines and Departmental policy. The system security plan describes the data sanitization measures specifically employed.

F. Briefly describe privacy risks and how information handling practices at each stage of the "information lifecycle" (i.e., collection, use, retention, processing, disclosure and destruction) affect individual privacy.

There are risks to the privacy of individuals due to the volume and type of sensitive PII contained in CGB ICS - Folsom EACSS. CGB ICS - Folsom EACSS has undergone a formal Assessment and Authorization and has been granted an authority to operate in accordance with the Federal Information Security Modernization Act of 2014 (FISMA) and National Institute of Standards and Technology (NIST) standards. CGB ICS – Folsom EACSS is rated as FISMA moderate based upon the type of data and it requires strict security and privacy controls to protect the confidentiality, integrity, and availability of the sensitive PII contained in the system. The data collected and maintained is limited to only the minimal amount of data needed for identification purposes in alignment with the purpose of an identity management system.

The collection, use, retention, processing and destruction of user's information provided within the CGB ICS - Folsom EACSS system is intended to maintain the integrity of the user's information during the information lifecycle. Efforts are made in protecting the information so that unauthorized individuals or access is limited to only system managers needing the data. The greatest risks identified in the lifecycle process is at the beginning and the end where paper copies are being used. The system itself is safeguarded by being isolated from all other systems and is inaccessible from outside access connection points. Only authorized individuals have access to the CGB ICS - Folsom EACSS system.

The use of DOI IT systems is conducted in accordance with the appropriate DOI use policy. Audit trails of activity are maintained to reconstruct security relevant events. The audit trail will include the identity of each user accessing the system, time and date of

access (including activities performed using a system administrator's identification); and activities that could modify, bypass, or negate the systems security controls. Audit logs are reviewed on a regular, periodic basis and any suspected attempts of unauthorized access or scanning of the system are reported to IT Security. The CGB ICS - Folsom EACSS system follows the least privilege security principle, such that only the least amount of access is given to a user to complete their required activity. All access is controlled by authentication methods to validate the authorized user. Reclamation employees and contractors are required to complete the security and privacy awareness training and sign the DOI Rules of Behavior.

All user information is captured in the audit logs and the system is protected by giving access only to valid, authorized personnel. This information is not shared outside of Reclamation as the system is for internal use only. Backups of the data can only be accessed by valid, authorized users within Reclamation. When the system reaches end of life the equipment and/or media that contains user information and audit logs will be retained in accordance with the records retention schedule for IT systems.

Section 4. PIA Risk Review

A. Is the use of the data both relevant and necessary to the purpose for which the system is being designed?

☒ Yes: The use of the data is relevant and necessary to physically identify individuals for building/facility access purposes, and ensure the security of Reclamation personnel and facilities.

☐ No

B. Does this system or electronic collection derive new data or create previously unavailable data about an individual through data aggregation?

☐ Yes:

☒ No

C. Will the new data be placed in the individual's record?

☐ Yes:

☒ No

D. Can the system make determinations about individuals that would not be possible without the new data?

☐ Yes:

☒ No

E. How will the new data be verified for relevance and accuracy?

CGB ICS - Folsom EACSS does not derive new data.

F. Are the data or the processes being consolidated?

☐ Yes, data is being consolidated.

☐ Yes, processes are being consolidated.

☒ No, data or processes are not being consolidated.

G. Who will have access to data in the system or electronic collection? Indicate all that apply.

☐ Users
☐ Contractors
☐ Developers
☒ System Administrator
☒ Other: Only authorized management personnel, CGB ICS - Folsom EACSS administrators and CGB ICS - Folsom EACSS personnel with responsibility for issuing key cards have access to personal information.

H. How is user access to data determined? Will users have access to all data or will access be restricted?

Access to data is restricted through permissions and access controls. System administrators have access based on a need to know and least privilege principle.

I. Are contractors involved with the design and/or development of the system, or will they be involved with the maintenance of the system?

☒ Yes: FAR Privacy Act clauses were included in the contract.

☐ No

J. Is the system using technologies in ways that the DOI has not previously employed (e.g., monitoring software, SmartCards or Caller ID)?

☐ Yes

☒ No

K. Will this system provide the capability to identify, locate and monitor individuals?

☒ Yes: CGB ICS - Folsom EACSS is an identity management system and can identify individuals and monitor them entering and leaving the facilities for physical security purposes.

☐ No

L. What kinds of information are collected as a function of the monitoring of individuals?

CGB ICS - Folsom EACSS identifies authorized individuals upon entry and exit of the Folsom Dam. Video surveillance also captures images of persons entering and leaving the facilities. Audit trails of activity are maintained to reconstruct security relevant events and include the identity of each user accessing the system, time and date of access (including activities performed using a system administrator's identification); and activities that could modify, bypass, or negate the system's security controls.

M. What controls will be used to prevent unauthorized monitoring?

Reclamation complies with NIST and other Federal requirements for data security as part of a formal program of assessment and authorization, and continuous monitoring. Monthly scans are performed to ensure that changes do not occur that would create an exposure or weakness in the security configuration. The use of DOI and Reclamation IT systems is conducted in accordance with the appropriate DOI and Reclamation use policy. IT systems maintain an audit trail of activity sufficient to reconstruct security

relevant events and will include the identity of users accessing the system, time and date of access (including activities performed using a system administrator's identification), and activities that could modify, bypass, or negate the system's security controls. Audit logs are reviewed on a regular basis and any suspected attempts of unauthorized access or scanning of the system are reported immediately to IT Security. Only authorized users with system administrator privileges have access to monitor user's activities in the system. The CGB ICS - Folsom EACSS follows the NIST 800-53 controls and DOI security and privacy control standards for user access based on least privilege, ensuring that only authorized individuals are authorized to have access to system data.

N. How will the PII be secured?

(1) Physical Controls. Indicate all that apply.

☒ Security Guards
☐ Key Guards
☒ Locked File Cabinets for Account Paperwork
☒ Secured Facility
☒ Closed Circuit Television
☐ Cipher Locks
☒ Identification Badges
☐ Safes
☐ Combination Locks
☒ Locked Offices
☒ Other. All visitors to the Reclamation facility must always be escorted. Only those people with authorized unescorted access are allowed into restricted areas, otherwise known as physical security perimeters, where the data resides. The process for gaining this access is more stringent and provides another layer of security for the facility.

(2) Technical Controls. Indicate all that apply.

☒ Password
☒ Firewall
☒ Encryption
☒ User Identification
☐ Biometrics
☒ Intrusion Detection System (IDS)
☐ Virtual Private Network (VPN)
☐ Public Key Infrastructure (PKI) Certificates

☒ Personal Identity Verification (PIV) Card

☒ Other. System permissions follow the concept of least privilege. The CGB ICS - Folsom EACSS system is air-gapped from all other DOI and Reclamation systems, and access to the system requires physical presence at a terminal location. No VPN controls are used within the system.

(3) Administrative Controls. Indicate all that apply.

☒ Periodic Security Audits

☒ Backups Secured Off-site

☒ Rules of Behavior

☒ Role-Based Training

☒ Regular Monitoring of Users' Security Practices

☒ Methods to Ensure Only Authorized Personnel Have Access to PII

☒ Encryption of Backups Containing Sensitive Data

☒ Mandatory Security, Privacy and Records Management Training

☒ Other. Proximity Card data is retained for 3 years as per our audit cycle, backups are created and stored securely on-site during the retention period of the data. Video data is retained for a maximum of up to 90 days on the CGB ICS - Folsom EACSS system itself and no backups of the video files are created. When video footage is provided to external organizations, it is encrypted, and the provision is authorized and documented.

O. Who will be responsible for protecting the privacy rights of the public and employees? This includes officials responsible for addressing Privacy Act complaints and requests for redress or amendment of records.

The California-Great Basin Region Regional Director serves as the CGB ICS - Folsom EACSS Information System Owner and the official responsible for oversight and management of the security and privacy controls for the system. The Information System Owner and the Information System Security Officer, in collaboration with the Regional Privacy Coordinator and the Reclamation Associate Privacy Officer, are responsible for ensuring adequate safeguards are implemented in compliance with Federal laws and policies for the data managed and stored in CGB ICS - Folsom EACSS.

P. Who is responsible for assuring proper use of the data and for reporting the loss, compromise, unauthorized disclosure, or unauthorized access of privacy protected information?

The CGB ICS - Folsom EACSS Information System Owner is responsible for oversight

and management of the CGB ICS - Folsom EACSS security and privacy controls, and for ensuring to the greatest possible extent the data is properly managed and all access to the data has been granted in a secure and auditable manner. The Information System Owner, or designated representative, is responsible for reporting any loss, compromise, or unauthorized access to the system or data is reported to the DOI Computer Incident Response Center within one hour of discovery in accordance with Federal policy and established DOI procedures, and appropriate remedial activities are taken to mitigate any potential compromise in consultation with the Regional Privacy Coordinator and the Reclamation Associate Privacy Officer.

Section 5. Review and Approval

Information System Owner

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Bureau/Office: Bureau of Reclamation/California-Great Basin Regional Office
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Signature: Ernest A. Conant Digitally signed by Ernest A. Conant Date: 2022.08.12 11:40:38 -07'00'

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Reviewing Official

Name: Teri Barnett
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