

# Information Protection & Security

State of Arizona – Retirement System

## Change Request

July 17, 2024

Project # RT19002



ARIZONA STATE  
**RETIREMENT SYSTEM**

Your investment.  
Your future.  
Secure for your lifetime.

### Agency Vision

To be a **top-performing** retirement plan, leading the nation in **customer service, investment performance, and organizational effectiveness.**

### Agency Mission

To provide **highly desirable** and **sustainable** retirement benefits to our members that support the **recruitment and retention** of high-quality employees for our employer partners.



# Project Team Introduction

## Roles Present at ITAC

- Mark Muraoka – ASRS TSD Business Analysis Program Manager
- Trent Kendall – ASRS Chief Information Officer

# Project Introduction

## Date/high-level overview of the approved original project investment justification (PIJ):

In December of 2018, ADOA ASET approved the original project investment justification (PIJ) for the Information Protection and Security project designed to reduce risk of personal identifiable information data loss. The original timeline was November 2019 through June 2024.

This project:

- *Reduces access to Personal Identifiable Information (PII) and adds access logging; lowering the ASRS risk of internal fraud*
- *Secures member PII by eliminating SSN as the main identifier in multiple software systems*
- *Logging solution will provide forensic data in the case of a breach*
- *Improved compliance with GAPP (Generally Accepted Privacy Principles)*

The original PIJ Project spanned November 2019 through June 2024 with a development budget of \$2.7M.

**This was secured through a task order.**

# Current Project Status

## Original project plan:

### **Phase 1: Modify FileNet to use PID – Completed 3/31/21**

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 – Completed 3/31/21**

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 – Completed 12/7/21**

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 – Actual Start 7/5/21 - Estimated End 06/30/2025 - Approximately 68% Complete**

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.

- 7/2021 – 2/2022 Research, analysis and design
- 3/2022- 2/2023 Created database Audit Policies for PII, proof of concept for moving PII to new database schema, Implement secure database schema
- 3/2023-11/2023 Move SSN to PII database schema (ADOA HI Enrollment file, Online Contributions Reporting, Online enrollment/registration, ACR/Actuary file)

### **Phase 5: Call Center Changes - Completed 3/29/22**

Eliminate prompting callers for SSN when calling into our call center.

# Original Project Timeline

ID	IPS Phase	Start	Finish	Duration	2020				2021				2022				2023				2024			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	
1	Phase 1 Modify Filenet to use PID	11/15/2019	4/30/2021	381d																				
2	Phase 2 Replace PII within Applications	12/28/2020	4/30/2021	90d																				
3	Phase 3 Create new Filenet Doc class	4/5/2021	11/5/2021	155d																				
4	Phase 4 Data Access Logs	12/29/2021	6/30/2023	393d																				
5	Phase 5 Call Center Changes	6/5/2023	12/22/2023	145d																				



# Current Project Costs

Project Costs by Category	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024	Total
Professional & Outside Services (Contractors)	\$43,176.25	\$303,577.79	\$280,287.83	\$168,750.50	\$270,905.37	\$1,066,697.74
Total Development	\$43,176.25	\$303,577.79	\$280,287.83	\$168,750.50	\$270,905.37	\$1,066,697.74



# Project Change Request Overview

## What in the PIJ is changing?:

- Timeline
  - From 6/30/2024 to 06/30/2025
- Scope
  - Descoping \_\_\_ and/or Adding \_\_\_
- Budget
  - From \$2,741,608 to \$1,602,368

## What initiated this change?:

- The requirement of Phase 4 is to track when Personal Identifiable Information (PII) when viewed or updated by ASRS business users. The initial solution was determined to require too much ongoing maintenance as our custom applications are modified.
- The revised design solution is to create a secure database schema and remove PII from approximately 150 database tables. Then make the corresponding application changes to pull PII from the secure database schema.
- In the long term, this design solution will result in improved security, more efficient auditing and data masking and will be easier to maintain. However, this new design solution has proven to be more complex than initially thought, requiring more analysis, development and testing than originally planned.
- Additional delays are attributable to the project being paused in past years while the development team was reassigned to higher priority projects as determined by ASRS Executive Management.
- The project is currently expected to finish under budget because the earlier stages required less development effort than originally estimated, budget was not spent during the few times mentioned that the team was diverted to other higher priority projects and the original design expected multiple terabytes of storage which is no longer required.



# Financial Impact

## Change in Project Financials

Total Development Budget	\$2,741,608.01
Actual Spend from 12/01/2019 through 5/30/2024	\$1,066,697.74
Projected Spend for 05/01/2024 through 06/30/2025	\$535,671
<b>Estimated Development Budget surplus as of 6/30/2025</b>	<b>\$1,139,240</b>

# Q & A Session

# Recommended Conditions

## ADOA-ASET Conditions

1. Should development costs exceed the approved estimates by 10% or more, or should there be significant changes to the proposed technology scope of work or implementation schedule, the Agency must amend the PIJ to reflect the changes and submit it to ADOA-ASET, and ITAC if required, for review and approval prior to further expenditure of funds.
2. Monthly reporting on the project status is due to ADOA-ASET no later than the 15th of the month following the start of the project. Failure to comply with timely project status reporting will affect the overall project health.
3. The Agency shall provide an informational update to the Information Technology Authorization Committee (ITAC) regarding the status of the project on an annual basis, or as otherwise requested.

# ITAC Voting Options

## What ITAC May Consider In Review Whether:

- a. The proposed solution addresses the stated problem or situation;
- b. The budget unit is competent to carry out the project successfully;
- c. Sufficient sponsorship and support by budget unit leadership exists;
- d. Cost estimates provided are accurate;
- e. The proposed project aligns with the budget unit's Strategic IT Plan; and
- f. The proposed solution complies with statewide IT standards.

## ITAC Motions:

- a. Move to Approve
- b. Move to Approve with Conditions As Presented
- c. Move to Approve with Conditions
  - i. Committee May Modify or
  - ii. Add Conditions
- d. Move To Deny

### Relevant Statutes and Rules

[Per A.R.S. § 18-101](#) - [Per Administrative Code R2-18-101](#)

# Appendix

# Phase 4 Project Detailed Timeline

ID	Task Name	Start	Finish	Duration	Q2 24		Q3 24			Q4 24			Q1 25			Q2 25		
					Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	
1	Interceptors	5/20/2024	6/27/2025	58w	[Gantt bar spanning from May 2024 to June 2025]													
2	Retirement Transactions Table	5/20/2024	7/12/2024	8w	[Gantt bar spanning from May 2024 to July 2024]													
3	Service Purchase Transactions Table	5/20/2024	7/12/2024	8w	[Gantt bar spanning from May 2024 to July 2024]													
4	PWEB Login Auditing	7/17/2024	8/6/2024	3w	[Gantt bar spanning from July 2024 to August 2024]													
5	Payment/Disbursement Tables (27)	5/20/2024	8/23/2024	14w	[Gantt bar spanning from May 2024 to August 2024]													
6	Demographics Tables (15)	8/12/2024	11/1/2024	12w	[Gantt bar spanning from August 2024 to November 2024]													
7	Service Purchase Tables (5)	10/14/2024	12/13/2024	9w	[Gantt bar spanning from October 2024 to December 2024]													
8	HI/LTD Tables (6)	11/11/2024	1/10/2025	9w	[Gantt bar spanning from November 2024 to January 2025]													
9	Survivor Benefit Tables	12/16/2024	2/14/2025	9w	[Gantt bar spanning from December 2024 to February 2025]													
10	Merge SSN	1/27/2025	3/14/2025	7w	[Gantt bar spanning from January 2025 to March 2025]													
11	Persons Table	3/17/2025	5/2/2025	7w	[Gantt bar spanning from March 2025 to May 2025]													
12	Report Creation	5/5/2025	5/30/2025	4w	[Gantt bar spanning from May 2025 to June 2025]													
13	Technical Debt	6/2/2025	6/27/2025	4w	[Gantt bar spanning from June 2025 to July 2025]													