



PIH Real Estate Assessment Center

Enterprise Income Verification System *Security Procedures*

April 2006

Introduction



- ✓ Privacy Act Requirements
- ✓ Overview of Policies and Controls for Securing EIV System's Data
 - Administrative
 - Technical
 - Physical

Privacy Act Requirements



Whenever HUD or a program administrator (PHA, owner or management agent) requests information about a tenant they should ensure the following:

- ✓ The data is only used for verification of tenant income to determine:
 - a tenant's eligibility for participation in a rental assistance program
 - the level of assistance that they are entitled to receive
- ✓ It is not disclosed in any way that would violate the privacy of the individuals represented in the system
- ✓ The tenant is notified of the following:
 - HUD or the program administrator's authorization and purpose for collecting the information
 - the uses that may be made of the data collected, and
 - the consequences to the individual for failing to provide the information
- ✓ On request, the tenant is provided with access to records pertaining to them and an opportunity to correct or challenge the contents of the records

Privacy Act Requirements



All users will be required to acknowledge their understanding of requirements imposed under the Privacy Act before continuing to use the EIV system to access the upfront income verification data

All users will be required to acknowledge that a form HUD-9886, HUD-9887, or equivalent consent form is on file for the household whose income information is being accessed before the user can have access to the EIV system

All screens and/or pages containing tenant information contains a Privacy Act statement that indicates: “Confidential Privacy Act Data. Civil and criminal penalties apply to misuse of this data.”

Civil Penalties Associated with the Privacy Act



A tenant may take legal action against HUD or a program administrator for the following agency actions:

- ✓ Refusal to grant access to a record
- ✓ Refusal to amend or correct a record
- ✓ Failure to maintain a record with accuracy, relevancy, timeliness or completeness
- ✓ Failure to comply with any other provision of the Privacy Act, where there is an adverse effect on the tenant



If found liable, HUD or the program administrator will be required to pay the tenant:

- ✓ Damages sustained as a result of the agency's action
- ✓ The costs of the lawsuit, including reasonable attorney fees

Criminal Penalties Associated with the Privacy Act



A HUD or program administrator employee can be found guilty of a misdemeanor or a felony if that employee, knowingly and willfully:

- ✓ Discloses a tenant or tenants records to an unauthorized party
- ✓ Maintains a system of records without publishing a public notice
- ✓ Fraudulently represents him/herself to obtain another individual's record



Administrative Safeguards



Purposes of the administrative safeguards:

- ✓ Ensure that access rights, roles, and responsibilities within the agency are appropriately and adequately assigned
- ✓ Maintain security-related records
- ✓ Monitor programmatic security issues
- ✓ Maintain, communicate, and enforce standard operating procedures related to securing EIV system's data

Technical Safeguards



Purposes of the technical safeguards:

- ✓ Reduce the risk of a security violation related to the EIV systems' software, network, or applications
- ✓ Identify and authenticate all users seeking access to the EIV system's data
- ✓ Deter and detect attempts to access the system without authorization
- ✓ Monitor the user activity on the EIV system
- ✓ Online User Alerts

Technical Safeguards



The technical controls that have been built into the EIV systems address the following:

✓ User Identification and Authentication

- Each user is required to have their own User ID and Password
- The User ID identifies the program administrator or HUD Field Office and tenant information that the user is authorized to access
- Passwords are encrypted and the password file is protected from unauthorized access
- All EIV users need to have Secure System – WASS – User IDs to access the EIV online application.
- All users logging into the EIV system and their user certification transactions will be logged – this is an effort to protect the tenant data and provide traceability in the event some questionable actions occur.
- Online warning messages that inform the user of the civil and criminal penalties associated with unauthorized use of the EIV system's data
- Before accessing the EIV application, all users must acknowledge that they understand that the EIV data is covered by the Privacy Act and may only be used for governmental purposes and affirm that a Form HUD-9886 or HUD-9887 is on file – if you are a PHA, owner or management agent.



Technical Safeguards, cont'd



✓ User Identification and Authentication, cont'd

All EIV users will need Secure System WASS User IDs to access the EIV Online System website

- Review the Guidance on the EIV website
- For PHA assistance, send an email describing the issue along with your name, phone number, housing authority number, contract number or Field Office name where applicable to: EIV_Help@HUD.GOV. For PIC or EIV you may telephone the PIC Help/EIV Help Call Center at 1-800-366-6827 between 9:00 a.m. and 8:00 p.m. on all business days.
- For owner or management agent assistance, for issues and problems on the EIV online, contact the TRACS help desk:
TRACS_HOTLINE_@HUD.GOV 1-800-767-7588



Physical Safeguards



Purposes of the physical safeguards:

- ✓ Provide barriers between unauthorized persons and documents or computer media containing private data
- ✓ Prevent undetected entry to protected areas and/or to protected documents
- ✓ Provide immediate notification, noticeable under normal operating conditions, if the barrier is penetrated by unauthorized persons
- ✓ Prevent viewing of private information by any person by any means from outside the area confined by the barrier
- ✓ Allow authorized persons to have monitored and controlled access to protected private data

HUD Field Offices and program administrators may implement a combination of locked and monitored buildings, offices, storage rooms or metal file cabinets as physical safeguards to secure a tenant's private data.

Physical Safeguards, cont'd



- ✓ Secure computer systems and output
 - Store EIV system's data in a separate, restricted-access directory if files are saved to local machine
 - Label all diskettes containing EIV system's data "Confidential" or "For Official Use Only"
 - Retrieve all computer printouts as soon as they are generated so that EIV system's data is not left lying unattended in printers
 - Avoid leaving a computer unattended with EIV system's data displayed on the screen

- ✓ Disposal of EIV system's information
 - Destroy as soon as it has served its purpose or as prescribed by the Field Office's or program administrator's policy and procedures
 - All EIV system's originals and copies should either be burned or shredded



Implementing Safeguards



- ✓ Technical safeguards alone, without complementary physical safeguards and/or administrative safeguards do not meet HUD's standard for the protection of private data.
- ✓ HUD Field Offices and program administrators are strongly encouraged to take all reasonable steps to implement a combination of technical, physical, and administrative safeguards.
- ✓ The physical and administrative safeguards that are implemented by a Field Office or program administrator must be appropriate when considered in combination with the technical safeguards available to the Field Office or program administrator through the EIV system.

EIV Websites



- ✓ Privacy Act Information at:
<http://www.usdoj.gov/foia/privstat.htm>

- ✓ The *EIV Access Authorization Forms*,
EIV Rules of Behavior and User Agreement Forms,
EIV Security Procedures for UIV Data Guide, and the
EIV SSO Presentation at:
[http://www.hud.gov/offices/pih/programs/
ph/rhiip/uivsystem.cfm](http://www.hud.gov/offices/pih/programs/ph/rhiip/uivsystem.cfm)

- ✓ EIV Assistance for Public Housing Agency Users: EIV_Help@HUD.GOV
PIC Help/EIV Help Call Center: 1-800-366-6827
9:00 a.m. - 8:00 p.m. on Business Days

- ✓ EIV Assistance for Multifamily Housing Users: TRACS_HOTLINE@HUD.GOV
1-800-767-7588

- ✓ View a detail presentation of the EIV System and security procedures of October 13, 2005 at: <http://hudatwork.hud.gov/services/webcasts/pih.cfm>

Contact Information



Myra Newbill

EIV system's Security Officer

Phone: 202-475-8988

Fax: 202-485-0275

Email: Myra_E. _Newbill@hud.gov

