



270 - PERSONALLY IDENTIFIABLE INFORMATION PROCESSING AND TRANSPARENCY STANDARD

Purpose

The Personally Identifiable Information Processing and Transparency Standard provides documentation of the requirements to achieve compliance with the Personally Identifiable Information Processing and Transparency Policy.

Standard

This standard uses the NIST SP 800-53 Rev. 5 framework as the guideline to establish control objectives to address a diverse set of security and privacy requirements. Not all controls within NIST SP 800-53 Rev. 5 may be selected for the Statewide baseline policies and standards. Agencies must categorize their data and identify the potential impact (high, moderate, or low), and select controls appropriately. This standard uses Table 3-1 in NIST SP 800-53B for the allocated impact levels (high, moderate, low) of controls and control enhancements. At a minimum, all low controls are selected, and certain moderate controls are selected. Agencies are to reflect their controls through the annual reporting process to DOA-DET.

Executive Branch Agencies are to develop policies, procedures, or processes for their own State information systems and system environments to protect State information, if applicable. Some agencies will have specific regulatory requirements that they must adhere to that go beyond what other agencies would need to adhere to. Implementation of the standard controls within this document can be (1) a common (inheritable) control, (2) a system-specific control, or (3) a hybrid control. The control implementation defines the scope of applicability for the control, the shared nature or inheritability of the control, and the responsibility for control development, implementation, assessment, and authorization. Agencies should consider the following for inclusion in their policies, procedures, or processes:

Authority to Process Personally Identifiable Information (PT-2):

- Determine and document the Agency-defined authority that permits the Agency-defined processing of personally identifiable information; and
- Restrict the Agency-defined processing of personally identifiable information to only that which is authorized.

Authority to Process Personally Identifiable Information | Automation (PT-2(2)):

- Manage enforcement of the authorized processing of personally identifiable information using Agency-defined automated mechanisms.

Personally Identifiable Information Processing Purposes (PT-3):

- Identify and document the Agency-defined purpose(s) for processing personally identifiable information;
- Describe the purpose(s) in the public privacy notices and policies of the organization;
- Restrict the Agency-defined processing of personally identifiable information to only that



STATE OF WISCONSIN

DEPARTMENT OF ADMINISTRATION

Tony Evers, Governor
Kathy Blumenfeld, Secretary
Trina Zanow, Division Administrator
Effective Date: 07/01/2022

which is compatible with the identified purpose(s); and

- Monitor changes in processing personally identifiable information and implement Agency-defined mechanisms to ensure that any changes are made in accordance with Agency-defined requirements.

Personally Identifiable Information Processing Purposes | Automation (PT-3(2)):

- Track processing purposes of personally identifiable information using Agency-defined automated mechanisms.

Consent (PT-4):

- Implement Agency-defined tools or mechanisms for individuals to consent to the processing of their personally identifiable information prior to its collection that facilitate individuals' informed decision-making.

Consent | Tailored Consent (PT-4(1)):

- Provide Agency-defined mechanisms to allow individuals to tailor processing permissions to selected elements of personally identifiable information.

Consent | Just-in-Time Consent (PT-4(2)):

- Present Agency-defined consent mechanisms to individuals at an Agency-defined frequency and in conjunction with Agency-defined personally identifiable information processing.

Consent | Revocation (PT-4(3)):

- Implement Agency-defined tools or mechanisms for individuals to revoke consent to the processing of their personally identifiable information.

Privacy Notice (PT-5):

- Provide notice to individuals about the processing of personally identifiable information that:
 - Is available to individuals upon first interacting with an organization, and subsequently at an Agency-defined frequency;
 - Is clear and easy-to-understand, expressing information about personally identifiable information processing in plain language;
 - Identifies the authority that authorizes the processing of personally identifiable information;
 - Identifies the purposes for which personally identifiable information is to be processed; and
 - Includes Agency-defined information.

Privacy Notice | Just-in-Time Notice (PT-5(1)):

- Present notice of personally identifiable information processing to individuals at a time and location where the individual provides personally identifiable information or in



STATE OF WISCONSIN

DEPARTMENT OF ADMINISTRATION

Tony Evers, Governor
Kathy Blumenfeld, Secretary
Trina Zanow, Division Administrator
Effective Date: 07/01/2022

conjunction with a data action, or Agency-defined frequency.

Specific Categories of Personally Identifiable Information (PT-7):

- Apply Agency-defined processing conditions for specific categories of personally identifiable information.

Specific Categories of Personally Identifiable Information | Social Security Numbers (PT-7(1)):

- When a system processes Social Security numbers:
 - Eliminate unnecessary collection, maintenance, and use of Social Security numbers, and explore alternatives to their use as a personal identifier;
 - Do not deny any individual any right, benefit, or privilege provided by law because of such individual's refusal to disclose his or her Social Security number; and
 - Inform any individual who is asked to disclose his or her Social Security number whether that disclosure is mandatory or voluntary, by what statutory or other authority such number is solicited, and what uses will be made of it.

Specific Categories of Personally Identifiable Information | First Amendment Information (PT-7(2)):

- Prohibit the processing of information describing how any individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual or unless pertinent to and within the scope of an authorized law enforcement activity.

Additional Documentation

- NIST SP 800-53B <https://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53B.pdf>
- Wisconsin Statutes Chapter 19 General Duties of Public Officials, Subchapter IV PERSONAL INFORMATION PRACTICES <https://docs.legis.wisconsin.gov/document/statutes/subch.%20IV%20of%20ch.%2019>
- 5 USC 552a: Records maintained on individuals <https://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title5-section552a&num=0&edition=prelim>
- Transparency: Wisconsin Statutes Chapter 19 General Duties of Public Officials, Subchapter II PUBLIC RECORDS AND PROPERTY <https://docs.legis.wisconsin.gov/document/statutes/subch.%20II%20of%20ch.%2019>
- Records of state offices and other public records. <https://docs.legis.wisconsin.gov/document/statutes/16.61>
- Statewide General Records Schedules <https://publicrecordsboard.wi.gov/Pages/GRS/Statewide.aspx>

Definitions

Executive Branch Agency - State of Wisconsin legislatively defined Departments and all customers of DET services, equipment, and/or technologies.



STATE OF WISCONSIN

DEPARTMENT OF ADMINISTRATION

Tony Evers, Governor
Kathy Blumenfeld, Secretary
Trina Zanow, Division Administrator
Effective Date: 07/01/2022

State information - Any information/data that is created, accessed, used, stored, or transmitted by an Executive Branch Agency.

State information systems and system environments - All equipment or services used to input, store, process, transmit, and output information, including, but not limited to: network devices, servers, databases, printers, Internet, email, physical, virtual, cloud, and applications accessible to and/or managed by the agency.

Exception Process

Exceptions to any Executive Branch Agencies Security Policies, Procedures or Standards must follow the Executive Branch Agencies Exception Procedure. This includes exceptions that are allowed by law (e.g., there is some public health data where consent, privacy notices, etc. are not required).

Document History and Ownership

This standard was developed as required by the State of Wisconsin Information Technology Security Policy Handbook, under the authority of Wisconsin State Statute 16.971.

This standard is effective upon approval and publication until revised, updated, or retired.

Ownership for this standard is assigned to DOA, DET Bureau of Security. As such, the DOA, DET Bureau of Security is responsible for the maintenance, update(s), and review of this document annually before the anniversary of the effective date.



STATE OF WISCONSIN
DEPARTMENT OF ADMINISTRATION

Tony Evers, Governor
Kathy Blumenfeld, Secretary
Trina Zanow, Division Administrator
Effective Date: 07/01/2022

Version #	Revision or Review Date	Description of Change(s)	Reviewer/Author	Date Approved
1.0	06/24/22	Submitted to and approved by the IT Executive Steering Committee	Reviewer: ITESC Author: DOA/DET	06/24/22
2.0	06/24/22	Reviewed with Agency Security Officers and IT Directors and changes were incorporated	Reviewer: ITESC Author: DOA/DET	06/24/22

NOTE: Keep only the origination and the last 10 years of update information. Only notate prior three revisions. Include only interim/final revision statuses.

Authorized and Approved by:

Alan Greenberg, CISO

DocuSigned by:
Alan Greenberg
7062227F849B429...

7/8/2022 | 1:55 PM CDT

Print/Type
Title

Signature

Date